

DOCUMENT RESUME

ED 146 188

TM 006 550

TITLE Second Analysis and Evaluation: Federal Juvenile Delinquency Programs. Volume I.
INSTITUTION National Inst. for Juvenile Justice and Delinquency Prevention (Dept. of Justice/LEAA), Washington, D.C.
PUB DATE 77
NOTE 178p.; Tables may be marginally legible due to small print
AVAILABLE FROM Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Stock Number 027-000-00565-9, \$3.50)
EDRS PRICE MF-\$0.83 HC-\$10.03 Plus Postage.
DESCRIPTORS Agencies; Agency Role; Delinquency Causes; *Delinquency Prevention; *Delinquent Rehabilitation; Delinquents; Elementary Secondary Education; Federal Aid; *Federal Programs; Law Enforcement; Program Descriptions; Program Effectiveness; *Program Evaluation; Program Planning; State Programs; Statewide Planning; Youth

ABSTRACT

This document expands and updates the information presented in the First Analysis and Evaluation of Federal Juvenile Delinquency Programs. It includes: a description of the Office of Juvenile Justice and Delinquency Prevention and the National Institute for Juvenile Justice and Delinquency Prevention; a report on the activities and recommendations of the National Advisory Committee; a report on the activities of the Coordinating Council; a profile of the federal effort in delinquency prevention and control; and an analysis of the expenditures and activities that make up the federal juvenile delinquency effort. In addition, an analysis and comparison of the federal planning requirements that states must fulfill to receive grant funds from Federal delinquency-related programs is presented, as well as a list of regional and state agencies which administer federal juvenile delinquency programs. (Author/HV)

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**Second
Analysis
and
Evaluation**

**Federal
Juvenile
Delinquency
Programs**

Volume I

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Letter of Transmittal

To the President and to the Congress of the United States:

I am pleased to submit the Second Analysis and Evaluation of Federal Juvenile Delinquency Programs as required by Section 204(b) (5) of the Juvenile Justice and Delinquency Prevention Act of 1974 (P.L. 93-415). The report was prepared by the Office of Juvenile Justice and Delinquency Prevention which was created by the Act as part of the Law Enforcement Assistance Administration.

The Office was established as a major new source of support for juvenile delinquency programs and to encourage and coordinate delinquency activities throughout the Federal Government. This report provides a comprehensive review of the operations and goals of the Office, the National Advisory Committee on Juvenile Justice and Delinquency Prevention, and the Coordinating Council on Juvenile Justice and Delinquency Prevention. These latter two organizations were created by the JJDP Act to assist in coordinating the Federal effort. The report describes various coordination activities that have been undertaken including joint programming initiatives and the development of plans, policies, and procedures for the concentration of Federal efforts. An inventory is included in Volume II that describes each of the 144 Federal juvenile delinquency programs identified.

During the past year, the Office has distributed funds to States and territories to support planning and programming for juvenile justice and delinquency prevention; has sponsored research, demonstration projects, and evaluations; and has endeavored to improve the coordination of the entire Federal delinquency prevention, control, and treatment effort.

With the assistance of related Federal agencies and as part of the coordination effort, the Office developed a set of standardized definitions of terms and a detailed statement of criteria for identifying the characteristics of Federal juvenile delinquency programs. The criteria represent an important step in analyzing the Federal effort and in resolving problems associated with the existence of divergent policies, procedures, and perceptions of mission in the area of juvenile justice and delinquency prevention among Federal agencies. The criteria have been used as a frame-

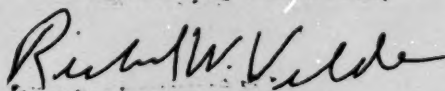
work for analyzing the expenditures of the 144 programs identified as comprising the Federal effort. While most of these programs are classified as prevention, further analysis is required to determine the impact these programs will have upon the juvenile delinquency problem. Another activity undertaken to improve coordination was the preparation of a comparison and analysis of the various planning requirements imposed upon the States by Federal delinquency programs. This analysis will prove useful at all levels of government--Federal, State, and local--in the preparation of comprehensive plans for juvenile delinquency prevention and control.

There is still a great deal that needs to be done. However, through the provisions of the JJDP Act and the diligent efforts of those participating in the Act, progress is being made to prevent and control juvenile delinquency, improve the quality of juvenile justice, and develop a more coordinated and uniform Federal effort.

The Coordinating Council and the National Advisory Committee have made significant contributions. Each organization provided valuable support and assistance in preparing this report. The National Advisory Committee has formulated a series of recommendations for improving juvenile delinquency programs at the Federal, State, and local levels.

Earlier in the year, the Office prepared a statement of Federal policy on delinquency prevention and control. This First Comprehensive Plan for Federal Juvenile Delinquency Programs emphasized the prevention of delinquency, the diversion of appropriate youths from the juvenile justice system, and the reduction of serious youth crimes. The activities described in this report will help the Federal Government to carry out this policy.

Respectfully submitted,



Richard W. Velde
Administrator

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Part One

Introduction

Juvenile delinquency continues to be one of the most serious problems facing the Nation. Persons under the age of 18 account for almost 50 percent of all arrests for serious crimes. These offenses cause much fear, hardship, and suffering.

Stemming these crimes is only part of the effort against delinquency. Equally important is trying to salvage the lives of the young offenders responsible for it.

These are enormous and complex tasks. Many factors contribute to a child's becoming delinquent. Emotional, physical, and behavioral problems play a part. So do the frustrations a child meets daily in a disadvantaged environment inadequately serviced by societal institutions. And once a youth is labeled a delinquent, this may itself stimulate further misconduct.

Clearly the tasks necessary for a comprehensive delinquency prevention and control program are not ones that any single program can accomplish alone. Much of the effort is beyond the scope of the juvenile justice system. Ensuring the full development of young people is a responsibility that affects all aspects of life -- family, education, housing, mental health, career development, etc. Within the juvenile justice system, many basic reforms also are needed. Studies and evaluations are demonstrating that unnecessary processing by the juvenile justice system is not effective in curbing delinquency or promoting beneficial youth development. The sweep of the system has become too broad. Too many cases are brought to the attention of the courts and too many minor offenders and status offenders are institutionalized.¹

Many different Federal acts have been passed in recent years to address juvenile delinquency and related problems. In the past 15 years, the Nation has seen a tremendous increase in juvenile justice, antipoverty, and other social welfare programs with at least an implied purpose of impacting on delinquency or helping young people lead better lives.

¹ A status offense is an act that would not be criminal if committed by an adult. Truancy, promiscuity, drinking, incorrigibility, etc., are examples.

Recognizing that these programs could be more effective if they were coordinated with each other, Congress in 1974 passed the Juvenile Justice and Delinquency Prevention Act which assigned responsibility to the Law Enforcement Assistance Administration (LEAA) to "implement overall policy and develop objectives and priorities for all Federal juvenile delinquency programs...." To carry out this responsibility, the Act created the Office of Juvenile Justice and Delinquency Prevention (OJJDP) and, within that Office, the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP) as its research, evaluation, and information center.

To help in the coordination effort, the Act also created the Coordinating Council on Juvenile Justice and Delinquency Prevention and the National Advisory Committee for Juvenile Justice and Delinquency Prevention. The Coordinating Council is made up of representatives of Federal agencies with responsibility for juvenile delinquency programs and chaired by the Attorney General. The Advisory Committee has 21 members appointed by the President because of their special knowledge and experience in the juvenile delinquency field. Seven of the members must be under age 26 at the time of their appointment.

As part of its coordination responsibilities, OJJDP is required by the JJDP Act to conduct an annual analysis and evaluation of Federal juvenile delinquency programs and report the findings to the Congress and the President. The Office also is required to prepare a comprehensive plan, based on the results of the analysis and evaluation, to help focus the Federal delinquency effort.

The First Analysis and Evaluation of Federal Juvenile Delinquency Programs, which was submitted on September 30, 1975, catalogued 117 such programs, analyzed where and how Federal delinquency-related funds were spent, and highlighted problems facing efforts to coordinate programs effectively. A major problem noted by the report was the difficulty of defining with any precision the delinquency prevention value of many programs. For example, the report noted the difficulty of measuring the impact of a free school lunch or extra teachers in ghetto schools on the juvenile delinquency problem. Because of these definitional problems, coupled with reporting difficulties, the First Analysis and Evaluation estimated that the Federal Government spent somewhere between \$92 million and \$20 billion on its delinquency effort. Another problem blocking coordination, noted by the report, was the need for an information system to provide basic program data on the delinquency effort and a method of analyzing and reporting program effectiveness.

This Report

The Second Analysis and Evaluation of Federal Juvenile Delinquency Programs expands and updates the information presented in the first report. It includes:

- A description of the activities of OJJDP and NIJDP.
- A report on the activities and recommendations of the National Advisory Committee.
- A report on the activities of the Coordinating Council.
- A profile of the Federal effort in delinquency prevention and control. This section describes the statement of criteria that was developed by OJJDP with input from the Coordinating Council and the National Advisory Committee to help classify Federal delinquency programs and to determine which programs fall within the purview of the JJDP Act. It also includes an analysis of the expenditures and activities that make up the Federal juvenile delinquency effort.
- An analysis and comparison of the Federal planning requirements that States must fulfill to receive grant funds from Federal delinquency-related programs. This will assist States to coordinate some of these planning efforts.
- An inventory and description of the 144 programs identified as related to delinquency prevention and control. These programs are presented in Volume II.

Summary of Findings

Following are major findings of the preliminary analysis of Federal juvenile delinquency programs:

- Combined FY 1976 expenditures of the 144 delinquency-related programs were approximately \$42 billion.
- The amount of funds specifically targeted for youths under 21 in FY 1976 was \$22 billion.
- Federal youth-related expenditures, over the three-year period FY 1975-1977, have increased very little considering inflation.
- Twenty-six programs, which represents only two percent of total expenditures in FY 1976, were for programs related to law enforcement, adjudication, and corrections. Eighty percent of these funds were administered by the Department of Justice.
- Ninety-eight percent of all expenditures in FY 1976, represented by 118 programs, are of a preventive nature. Health and health-related programs account for about 40 percent of expenditures in this area, followed by employment programs (35 percent) and education programs (13.2 percent).
- Of the total funds specifically targeted for youth, youth-in-need received in FY 1976 approximately \$4.7 billion, while adjudicated youth received a total of \$52 million.²

² See definition of "youth-in-need" on p. 140.

Part Two

Office of Juvenile Justice and Delinquency Prevention

To serve as the focal point for Federal efforts to control delinquency, a new Federal program within LEAA was established by the Juvenile Justice and Delinquency Prevention Act of 1974. The Act created the Office of Juvenile Justice and Delinquency Prevention composed of two operating divisions.

The first, the Office of Operations:

- Coordinates all Federal juvenile delinquency programs.
- Provides formula grants to the States.
- Awards discretionary grants through the Special Emphasis Program.
- Provides technical assistance to Federal, State, and local governments, agencies, and organizations.

The second, the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP):

- Conducts research into the problems of juvenile delinquency and evaluates juvenile justice programs.
- Develops standards for the administration of juvenile justice.
- Provides training for persons working or preparing to work in the delinquency field.
- Acts as an information clearinghouse.

The functions of the operating divisions are closely coordinated. In funding a Special Emphasis Grant Program, for example, NIJJDP prepares background research and conducts evaluations while technical assistance staff work with the grantees to improve project operations.

Philosophy of the Act

The Act emphasizes the prevention of delinquency and the treatment of offenders. It encourages programs and policies that deter young people from initial contact with the juvenile justice system, divert them from further contact, and ensure that status offenders are not institutionalized in correctional facilities. In addition, the Act recognizes that a large proportion of serious crime is committed by juveniles and therefore for the safety of society serious crimes must be curtailed.

Funding

During FY 1976, OJJDP administered a budget totaling almost \$106 million. This total includes \$74 million allocated through the JJDP Act and about \$32 million allocated through the Crime Control Act, which is LEAA's authorizing legislation. The Office uses Crime Control Act funds because the JJDP Act requires that LEAA maintain its FY 1972 level of spending for juvenile-related projects.

OFFICE
OF
OPERATIONS

The Office of Operations is responsible for the overall administration of OJJDP's grants and assistance programs and for the promulgation of national juvenile delinquency policies, objectives, and priorities. Specific areas of responsibility include: the Concentration of Federal Effort; the Special Emphasis Grant Program; Formula Grants; and Technical Assistance.

CONCENTRATION OF FEDERAL EFFORT

Recognizing that there were more than 100 Federal juvenile delinquency programs without a central policy authority, the Congress made the concentration and coordination of Federal juvenile delinquency efforts a special mandate of the JJDP Act.

The Act assigns responsibility to the LEAA Administrator for implementing overall policy and for developing objectives and priorities for all Federal juvenile delinquency programs.

During its first months of operation, OJJDP prepared the First Analysis and Evaluation of Federal Juvenile Delinquency Programs which included a preliminary inventory of Federal programs in the area. This inventory is updated in Volume II of this report.

The Office also prepared the First Comprehensive Plan for Federal Juvenile Delinquency Programs to provide a foundation for future Federal delinquency programming. The plan addresses the roles of each agency in the overall strategy, provides policy direction, and describes preliminary steps that must be taken before large-scale program and fiscal coordination is attempted.

A major effort undertaken during the past year was the development of a detailed statement of criteria for identifying and classifying juvenile delinquency programs. This statement, which is presented in Appendix II of this report, identifies the characteristics of Federal efforts in the areas of juvenile delinquency, juvenile delinquency prevention, diversion of youths from the juvenile justice system, and the training, treatment

and rehabilitation of juvenile delinquents. A draft of this statement was submitted to a panel of experts in the delinquency field for their suggestions and comments.

In carrying out its coordinating functions, OJJDP works closely with the Coordinating Council on Juvenile Justice and Delinquency Prevention and with the National Advisory Committee for Juvenile Justice and Delinquency Prevention. The Coordinating Council is made up of the heads of Federal agencies most directly involved in youth-related program activities. The National Advisory Committee has 21 members appointed by the President. The Office has provided staff assistance for both organizations, including arranging and scheduling meetings, providing background information, and developing agendas. The Office has encouraged the groups to work together and to be aware of each other's activities. Joint meetings of the two groups have been arranged to discuss subjects of mutual interest. Both groups have reviewed and made recommendations concerning both the annual analysis and evaluation of Federal juvenile delinquency programs and the comprehensive plan.

National Advisory Committee Activities. Since its creation, the National Advisory Committee has met seven times (four during the fiscal year) and has focused primarily on the orientation of members to their role and relationship to programs operated by OJJDP and other agencies. The Committee also established three subcommittees: the Advisory Committee for the National Institute for Juvenile Justice and Delinquency Prevention, the Advisory Committee to the Administrator on Standards for the Administration of Juvenile Justice, and the Advisory Committee for the Concentration of Federal Effort. Activities and recommendations of the National Advisory Committee are described in Part 3.

Coordinating Council Activities. As required by law, the Coordinating Council met six times during the fiscal year (and has met twice subsequently). Early meetings focused on general goals and priorities for Federal juvenile justice and delinquency prevention programs. Later meetings concentrated on policy options and the development of a Federal agenda for research into juvenile delinquency issues. The most recent meeting was held jointly with the National Advisory Committee. The Council's activities are described in detail in Part 4.

SPECIAL EMPHASIS PROGRAM

Through its Special Emphasis Program Division, OJJDP makes grants to public and private nonprofit agencies, organizations, and individuals to foster certain promising approaches for juvenile delinquency prevention and control. The Act calls these funds special emphasis aid. Its purposes are to:

- Develop and implement new approaches, techniques, and methods in juvenile delinquency programs.

- Develop and maintain new community-based alternatives to institutionalization.

- Divert juveniles from traditional juvenile justice and correctional systems.

- Improve the capacity of public and private agencies and organizations to provide services to juveniles thought to be in danger of becoming delinquent.

- Develop and implement model programs and methods to keep students in elementary and secondary schools and to prevent unwarranted and arbitrary suspensions and expulsions.

- Facilitate the adoption of the standards on the administration of juvenile justice recommended by the Advisory Committee on Standards.

One type of discretionary aid is provided by LEAA from funds authorized by the 1968 Crime Control Act; the other is provided by the JJDP Act. Discretionary funds may be granted to States, local governments, organizations, or individuals. At least 20 percent of the special emphasis funds are earmarked each year for private nonprofit organizations and institutions with experience in dealing with youths.

These discretionary funds are being used to support program initiatives in priority areas. The development of the objectives and goals of each initiative is based on an assessment of the existing data and previous research and evaluation studies, undertaken by NIJJDP. Each initiative is then coordinated with technical assistance and evaluation efforts.

There were four initiatives developed during FY 1976:

- The deinstitutionalization of status offenders.
- The diversion of juveniles from the juvenile justice system.
- The reduction of serious crime in the schools.
- The prevention of delinquency through programs by youth-serving agencies.

Status Offenders. OJJDP announced the program to deinstitutionalize status offenders (young people whose offenses would not be criminal if committed by adults) in March 1975. The Office received more than 460 preliminary applications and, in December, awarded 13 grants

totaling almost \$12 million over a two-year period. These projects will affect about 24,000 juveniles with an average cost of \$420 per youth. Nearly 71 percent of the total funds awarded will be available for contracts and the purchase of services from private nonprofit youth agencies and organizations.

The projects are nearing the end of the first action year and performance assessments are in process. Preliminary reports indicate that most are progressing without major difficulty. All are expected to require a longer period for implementation than the two years originally projected but no additional funds will be needed.

Diversion. The program announcement for the second initiative was issued in April 1976 and the Office received 260 preliminary applications. In October and November 1976, OJJDP awarded 11 action grants, totaling about \$8.5 million for two years. The projects are expected to be funded for a total of three years, with a total funding level of about \$13 million.

This program focuses upon juveniles who would normally be adjudicated delinquent and are at greatest risk of further juvenile justice system penetration. As a result of OJJDP planning and coordination with the Department of Housing and Urban Development, local housing authorities in HUD's Target Project Program have been encouraged to participate. To do this, HUD awarded \$200,000 to housing authorities in nine of the 11 sites funded by OJJDP.

School Violence. The Office has planned a two-part program for this initiative. This first part involves the transfer, in total, of \$4.7 million to three offices within the Office of Education (OE) in HEW: the Teacher Corps, the Office of Drug Prevention, and the Office of Equal Opportunity. The Teacher Corps received \$2 million in September 1976 to fund 10 demonstration programs in low-income areas to develop teacher skills for responding to criminal and disruptive behavior. The Office of Drug Prevention received \$1.2 million in September 1976 to carry out a training and technical assistance program to reduce crime and violence in the schools. The Office of Equal Educational Opportunity will soon receive \$1.5 million to use for planning and action grants to reduce school disruptions and crime.

For the second part of this initiative, the Office plans to award a competitive contract to develop a School Crime Resource Center that will prepare instructional source materials on crime, provide technical assistance, and train school administrators and security staff in methods of controlling violence and crime. The contract should be awarded in the first months of 1977.

In planning for this initiative, several factors contributed to OJJDP's decision to transfer funds to OE rather than to administer the

program itself. First, OJJDP does not have an adequate access to public school districts or to the network of educational interests. With the transfer of funds, the Office can build upon OE's experience and also help to refocus some of OE's resources on the critical problem of school crime. Second, this type of program is consistent with OJJDP's mandate to concentrate Federal resources and to stimulate Federal interagency planning. Third, OJJDP retains its authority over the funds and provides project and selection specifications for all programs to be funded.

Prevention. The program announcement for projects to prevent delinquency by strengthening the capacity of private not-for-profit youth-serving agencies to help youth at risk of becoming delinquent was issued in November 1976. Grant awards--for a projected total of up to \$16 million--are scheduled to begin in late March. OJJDP has invited applications from national youth-serving organizations to implement demonstration programs through their local affiliates in medium-sized cities and counties or entire States; from regional special interest organizations to set up projects through their affiliates in rural areas; and from multiple units of youth-serving agencies and organizations in large cities or counties to set up projects that increase the quality and quantity of services to juveniles at greatest risk of becoming delinquent.

Other Grants

In addition to grants awarded through the initiative areas, the Office funds a number of "transitional grants," so named because they were in the process of award before OJJDP was created. Continuation funding of these grants is not anticipated and, by January 1977, most grant projects will have been completed. The total amount of funding for these grants is \$5.4 million. These grants include:

- Youth-Community Coordination Project. Operated by the American Public Welfare Association, this project is seeking to provide better services to youths by coordinating the activities of the juvenile justice system and other human service agencies.

- Neighborhood Youth Resources Center. This grant supports a program in Philadelphia, Pa., located in an existing community center, that attempts to minimize youth penetration into the juvenile justice system and to strengthen juveniles' ties to the community.

- Pennsylvania Juvenile Offender Reintegration Project. This grant is developing an alternative network of community-based residential and nonresidential centers for approximately 500 juvenile offenders in Pennsylvania. A major part of the project is to place the 392 juveniles who had been incarcerated in the Camp Hill adult medium security penitentiary in the community-based programs.

- Project IMPACT. This grant establishes a full-time centralized unit for juvenile justice and delinquency prevention in Los Angeles County,

California. The project is responsible for coordinating the activities of approximately 15 separate departments that provide services to juveniles.

Future Program Initiatives

An additional group of initiatives will be funded during FY 1977. Planning is under way for programs to:

- Reduce serious crime by rehabilitating serious juvenile offenders.
- Prevent delinquency by improving neighborhoods and their services.
- Reduce serious crime committed by juvenile gangs.
- Provide alternatives to incarceration for juveniles through restitution projects.

Four other initiatives are under consideration for FY 1978:

- Improve juvenile justice and services through advocacy programs.
- Develop alternative education programs to help juveniles leaving institutions reenter the school system and to assist dropouts and push-outs.
- Provide support for implementing national standards and goals for juvenile justice.
- Improve probation services for juveniles.

FORMULA GRANT PROGRAM

The JJDP Act creates a system of formula grants to the States. To be eligible, States must submit a comprehensive plan. Funds are allocated annually among the States on the basis of relative population under age 18. The Act requires that no such allotment to any State be less than \$200,000 except for the Virgin Islands, American Samoa, Guam, and the Trust Territory of the Pacific Islands, which must receive at least \$50,000.

To receive the first allotment of Federal funds, States were required to submit an acceptable plan supplement document agreeing to meet the legislative requirements of the JJDP Act. The plan supplement had to be submitted to the Regional Office by August 1, 1975, for it to be approved and for the grant to be awarded by the Regional Administrator by August 31.

Under the appropriation breakdown, \$10.6 million was available for FY 1975 formula grants and these funds were obligated by August 31, 1975, with most of the States receiving funding at the \$200,000 level. States participating in FY 1976 had \$23.3 million available to them; their plan supplement document had to be approved and grants awarded by June 30, 1976.

At this funding level, 13 States received the base \$200,000. (See Table 2.1 for actual State allocations).

The FY 1976 plan submissions were integrated as a part of the comprehensive plan under the Crime Control Act, and were submitted by August 31, 1976. States participating in FY 1977 will have \$47.625 million available to them.

TECHNICAL ASSISTANCE

The Technical Assistance Program was established by the Office to support public and private agencies, institutions, and individuals in the planning, establishing, funding, operating, or evaluation of juvenile delinquency programs.

During FY 1975 and 1976, technical assistance funds were used to support the Special Emphasis Programs of deinstitutionalization, diversion, and delinquency prevention. Awards were made to contractors with expertise in delinquent behavior and knowledge of innovative programs and techniques in the initiative areas.

The Program also provides technical assistance for the other major activity of OJJDP--formula block grants to the States and territories. The Program helps States, State planning agencies, and subgrantees to assess their current and projected technical assistance needs and resources and to develop and implement a plan for meeting them.

States participating in the block grant program under the JJDP Act must meet certain legislative requirements: they must deinstitutionalize status offenders within two years; they must separate juveniles from adults in detention and correctional facilities; and they must provide for an adequate monitoring system for these facilities.

During FY 1977, plans are to award \$3 million in Technical Assistance Program funds to contractors to support the States' implementation of these requirements and for support of the deinstitutionalization and diversion programs. Technical assistance contracts also will be prepared to support delinquency prevention, improvement of the juvenile justice system, and rehabilitation.

Table 2.1. JUVENILE JUSTICE AND DELINQUENCY PREVENTION FORMULA GRANTS

	FY 1975 JJJPA FORMULA GRANT	FY 1976 JJJPA FORMULA GRANT	TRANS. QTR. 7/1- 9/30/76	FY 1977 JJJPA FORMULA GRANT	TOTAL
Alabama	200*	366*	90*	813	1,469
Alaska	200	200	50	200	650
Arizona	200	200	50	425	875
Arkansas	200	200	50	432	882
California	680	1,966	484	4,373	7,503
Colorado	200*	229	57	510	996
Connecticut	200	300	75	673	1,248
Delaware	200	200	50	200	650
Florida	216	625	154	1,390	2,385
Georgia	200	487	120	1,083	1,890
Hawaii	200*	200**	50**	200	650
Idaho	200	200	50	200	650
Illinois	389	1,125	277	2,501	4,292
Indiana	200	545	134	1,213	2,092
Iowa	200	289	71	643	1,203
Kansas	200*	221*	55*	492*	968
Kentucky	200	330*	81*	734	1,345
Louisiana	200	411	101	915	1,627
Maine	200	200	50	227	677
Maryland	200	409	101	910	1,620
Massachusetts	200	556	137	1,236	2,129
Michigan	333	963	237	2,142	3,675
Minnesota	200	409	101	910	1,620
Mississippi	200	250*	62*	556*	1,068
Missouri	200	460	113	1,024	1,797
Montana	200	200	50	200	650
Nebraska	200	200*	50*	335*	785
Nevada	200	200*	50*	200*	650
New Hampshire	200	200	50	200	650
New Jersey	248	707	174	1,571	2,700
New Mexico	200	200	50	268	718
New York	599	1,731	426	3,850	6,606
North Carolina	200*	521*	128*	1,159*	2,008
North Dakota	200	200	50	200*	650
Ohio	383	1,108	272	2,463	4,226
Oklahoma	200*	248*	61*	551*	1,060
Oregon	200	207	51	460	918
Pennsylvania	395	1,140	280	2,536	4,351
Rhode Island	200*	200	50	200	650
South Carolina	200	283	70	629	1,182
South Dakota	200	200	50	200	650
Tennessee	200	393*	97*	874	1,564
Texas	410	1,185	291	2,635	4,521
Utah	200*	200*	50*	279*	729
Vermont	200	200	50	200	650
Virginia	200	471	116	1,047	1,834
Washington	200	344	85	764	1,393
West Virginia	200*	200*	50*	382*	832
Wisconsin	200	469	115	1,044	1,828
Wyoming	200*	200*	50*	200*	650
Washington, D.C.	200	200	50	200	650
Puerto Rico	200	349	86	776	1,411
Trust Territory	50	50	12	50	162
American Samoa	50	50	12	50	162
Guam	50	50	12	50	162
Virgin Islands	50	50	12	50	162

89,125

* Did not participate; funds reverted to Special Emphasis Programs.

** JJDP Plan Supplement Document submitted but not approved.

NATIONAL INSTITUTE
FOR JUVENILE JUSTICE
AND DELINQUENCY PREVENTION

The National Institute for Juvenile Justice and Delinquency Prevention was created to serve as the research, evaluation, and information center for the Federal Government's effort to deal with the growing problem of juvenile delinquency in the United States.

The JJDP Act requires the Institute to:

- Conduct research relating to delinquency and juvenile justice.
- Evaluate juvenile justice and delinquency programs at the Federal and State levels.
- Collect, synthesize, and disseminate information on all aspects of delinquency.
- Develop standards for the administration of juvenile justice.
- Train professionals and others in the field.

The Institute's mission is integrated with that of OJJDP as a whole. The Institute works closely with all of the elements of the program: it provides research, program development, and evaluation support for the action initiatives of the Special Emphasis Program; it assists in the effort to coordinate Federal delinquency programs; and it provides information for use in technical assistance activities.

This report describes NIJJDP's activities since June 1975. It discusses the Institute's programs in the five areas mandated by the Act and reviews the results of these activities. Where appropriate, the report makes assessments of their applications to juvenile delinquency programming and recommendations.

RESEARCH

Data Base Development

During the past year, the Institute has expanded its long-range program of data base development for all aspects of delinquency and juvenile justice. NIJJDP projects complement information collected by the National Institute of Mental Health (NIMH), the Federal Bureau of Investigation (FBI), and LEAA's National Criminal Justice Information and Statistics Service (NCJISS). Some NIJJDP projects in this area include the following:

JOBTS. The Institute has begun planning with NCJISS toward the design and development of a Juvenile Offender-Based Transaction Statistics program (JOBTS) comparable to adult OBTS programs operating in many States. This is an important step toward developing reliable data bases on the flow of youth through the juvenile justice system.

Juvenile Court Statistical Reporting System. The National Center for Juvenile Justice (NCJJ) has collected and analyzed 1974 juvenile court data produced by the system, which formerly was sponsored by HEW. NCJJ is now collecting 1975 data and also redesigning the system to produce better information on juvenile court processing of youths.

JISRA. The National Council of Juvenile Court Judges (NCJCCJ) has completed the first year of its Juvenile Information System Requirements Analysis (JISRA) project. This project surveyed existing automated information systems in juvenile courts throughout the country to assist in developing a "model" information system for both management and research needs in juvenile courts. During the current second year of this effort, the requirements for such a model system are being developed.

Prevention. A NILECJ-supported assessment of delinquency prevention programs conducted by the Center for Vocational Education at Ohio State University found that:

- Little is known regarding the effectiveness of prevention approaches, primarily because of the inadequacies of evaluations.
- They vary enormously in their structures.
- Their espoused objectives seldom correspond with what the staff is actually trying to achieve.

The results of this study are being used to give guidance to the prevention initiative currently under development in OJJDP.

Diversion and Alternatives to Incarceration. A NILECJ-supported assessment of the state-of-the-art of alternatives to incarceration and

diversion programs by the University of Minnesota concluded that such programs appear to widen the net of the juvenile justice system by serving youths who otherwise would not have been processed through the system. These findings were corroborated by the Portland State University background paper prepared for the OJJDP Special Emphasis Program on Diversion.

School Violence. A planning effort to provide a basis from which to launch a Federal assistance program for dealing with disruptive and violent behavior in schools was conducted by Research for Better Schools, Inc. The investigators recommended that technical assistance be provided to school jurisdictions to help them develop programs to meet their individual problems. This approach has been adopted by OJJDP in its Special Emphasis Program on School Violence, recently funded in conjunction with the Office of Education.

Treatment of the Dangerous Juvenile Offender. The Rand Corporation conducted an assessment of rehabilitation approaches for the dangerous or violent juvenile offender. The investigators concluded that:

- Data are inadequate to support precise judgments about the relative efficacy of various treatment methods.
- Programs in this area are rarely designed to deal exclusively with the dangerous offender.
- A few treatment approaches evidence at least limited success.

The results of this assessment are being used in the development of an OJJDP Special Emphasis Program initiative focused on this topic area.

Other Projects. Other NIJJDP data base development projects include:

- The establishment of a panel of experts who will alert NIJJDP to issues and trends in juvenile justice.
- Support for the National Assessment of Juvenile Corrections project which is analyzing aspects of juvenile corrections programs throughout the United States.
- Support in conjunction with NILECJ for the Hudson Institute in New York to project future crime and delinquency trends based on various factors including changes in the operations of the adult and juvenile criminal justice systems.
- An assessment of police juvenile units by the Police Foundation.

Coordinating Council Research Priorities

There are enormous gaps in our knowledge about juvenile delinquency. The Coordinating Council has established various priorities for research, to be carried out by either the NIJJD or other Federal research units. A list of these priorities is included in Part 4, which reports on the activities of the Coordinating Council.

NIJJD is undertaking several projects which address these priorities, including:

Juvenile Gang Activity. Harvard University recently began the second year of a survey of juvenile gang activity in major U.S. cities. The study found that violent gangs exist in six of our 12 largest cities at levels approximating or exceeding their frequency during the 1950's. Gangs are more likely now to have access to guns and they operate increasingly in schools and other public areas. In its second year the study has been expanded to include additional cities.

Delinquency in American Society. A three-year study at the Institute for Juvenile Research in Chicago, now entering its third year, involves analyses of data collected on a random sample of over 3,000 Illinois youth and ethnographic studies of eight Illinois communities. The most significant findings to date are:

- The difference in delinquency involvement among races and social classes appears to be minimal.
- There appears to be less difference between male and female involvement in rather serious crime than previously thought.
- Family influence on delinquency appears to be strongest in the case of minor offenses.
- In general, the character of the local community and youth-authority relations appear to be critical variables accounting for the occurrence of delinquency.

Offender Careers. Two studies have been undertaken to examine the relationship of juvenile to adult careers. The first, at the University of Pennsylvania, is examining the development of offender career patterns (from ages 18 to 30) among a sample of 975 males drawn from a birth cohort of 10,000 males born in 1945 in Philadelphia. The results of the original cohort research showed that a small percentage of delinquent males are responsible for more than half of the reported delinquent acts and for two-thirds of all the violent acts committed by the cohort. The second study, conducted at the University of Iowa, is examining the extent of juvenile delinquency and adult crime among two cohorts of males and females born in 1942 and 1949 in Racine, Wisconsin. The results of both of these studies will serve as a basis for drawing important policy

implications about when control sanctions should be introduced to deter development of offender careers.

Additional projects are being planned for implementation during FY 1977 to address the Coordinating Council research priorities. These include:

- A replication of the Delinquency in a Birth Cohort study in Philadelphia.
- Special studies on preventing juvenile delinquency.
- The relationship of juvenile delinquency to economic factors.

Unsolicited Research Program

The Institute has set aside a small amount of funds for its unsolicited research program. The aim of this program is to make grants available for the support of worthwhile projects suggested from the field. These ideas are submitted in the form of "concept papers" which are reviewed prior to requesting a formal application.

During the past year, Institute staff reviewed approximately 100 such papers, and has funded approximately 5 percent of these projects. They address such areas as treatment or rehabilitation of juvenile offenders, prediction of delinquency, and factors associated with the development and maintenance of juvenile offender careers.

Research and Demonstration Programs

NIJJDP is also supporting two research and demonstration programs in which a tightly controlled research design is integrated with an experimental program. These are:

The Link Between Learning Disabilities and Juvenile Delinquency.
In 1974 it became apparent to LEAA that learning disabilities were beginning to be cited as a potential factor in the causation of delinquent behavior. A cursory review of the literature revealed little high quality research on this subject, although there appeared to be some evidence to support the possibility of a relationship.

NIJJDP funded an assessment of this area and all requests for action program support were held in abeyance pending its outcome. Assessment results indicated that research in this area was uneven in quality and that these studies had widely disparate findings because, primarily, they used differing definitions of learning disabilities. The American Institute for Research recommended that OJJDP restrict its support of projects in this field until a better data base was established; they specifically recommended two initial projects.

The first of these efforts...is research to determine the incidence of learning handicaps, including LD, strictly defined among a few basic populations: the chronic juvenile offender, the first time (or perhaps status) offender, and the nondelinquent.

The second effort...is a demonstration project to test the value of diagnosing and treating LD as an aid to rehabilitation of serious juvenile offenders.

NIJJDP is following these recommendations in effect by combining them into one program supported through two grants. One award has been made to the Association for Children with Learning Disabilities (ACLD) to support three components of the program: (1) a National Advisory Council; (2) a remedial program for learning disabled delinquents in Arizona, Indiana, and Maryland; and (3) a planning conference involving all affected agencies and organizations in each of the three sites. A second grant has been awarded to the Institute of Business, Law, and Social Research of Creighton University to evaluate the remedial program and to study the incidence of learning disabilities in nondelinquent, probation, and incarcerated delinquent populations in each of the three sites.

Youth Services Center. The Institute has undertaken an extensive evaluation of a demonstration project in Philadelphia, the Youth Services Center, whose aim is to divert youths from and prevent their entry into the juvenile justice system. The project combines a direct service and referral approach. A unique feature of this project is the employment of specialists through purchase-of-services agreements. Earlier evaluations of this program model revealed it to be generally effective. NIJJDP wants to learn more specifically about what type of youths the project most effectively serves, under what conditions, and with what outcomes.

Visiting Fellowship Program

The Institute supports several visiting fellows each year through participation in NILECJ's Visiting Fellowship Program. The Program aims at drawing talented researchers to LEAA offices in Washington, D.C. Fellowship recipients work on projects of their own design for periods of three months to two years.

Two fellows are currently in residence at the National Institute. Robert Rubel is conducting an historical analysis of crime and violence in the Nation's schools between 1950 and 1975. Allen Breed will review and analyze past Federal efforts to coordinate juvenile delinquency programs and act as an observer/analyst of the ongoing efforts of the Coordinating Council.

EVALUATION

Evaluation of Special Emphasis Program Initiatives

In developing its Special Emphasis Program initiatives, OJJDP uses the results of basic and assessment research studies undertaken by NIJDP (and elsewhere) to make decisions about priority areas for funding.

Once these areas are identified, OJJDP uses the results of the research and state-of-the-art studies to structure the action programs, including their objectives, target groups, and other requirements. This is a collaborative effort on the part of NIJDP and OJJDP Special Emphasis Program staff, with Institute staff assuming primary responsibility for providing and interpreting data and research results while Special Emphasis Program staff have lead responsibility for using the information to make program decisions. The evaluation objectives are incorporated into the action program announcement. Then the Institute assumes responsibility for designing the evaluation of the overall program. Each evaluation has two major parts: a national evaluation of the overall program and intensive evaluations of selected projects within the program.

The most significant features of this process are that research and assessment results are fed into action program decisions, and that the evaluation enterprise is a collaborative effort at both the national and local levels. While this is an extremely difficult process to implement, the Office is pleased with the results thus far.

Deinstitutionalization of Status Offenders. The first OJJDP initiative, begun in January 1975, provided OJJDP with its first opportunity to implement this general approach. Institute staff developed a background paper that contained a review of the literature regarding community-based alternatives for status offenders and set forth the program rationale and research goals for the program. In February 1975, an 11-month planning phase grant was awarded to the Social Sciences Research Institute of the University of Southern California.

The evaluation of the status offender program for a two-year period began in January 1976. The evaluation approach preserved the overall design developed during the evaluation planning phase and, at the same time, gave attention to each individual project site. To accomplish this, NIJDP awarded separate grants to evaluators located near each project site and an overall coordination and national evaluation grant to the Social Science Research Institute. The total amounts of funds awarded for this effort equalled \$2 million. The local evaluators are implementing both the national and local evaluation designs. The Social Science Research Institute will conduct a comparative analysis of all the projects compiling the results of the evaluation activities at each significant point in the process and will prepare a single comprehensive final report. It also will assist the local evaluators to carry out the national design.

The major evaluation objectives for the status offender program are to determine:

- The extent to which deinstitutionalization of status offenders is achieved over a two-year period.
- How effectively community-based services have been used and developed and which program strategies are most likely to be successful in achieving deinstitutionalization.
- The impact of the community-based programs on the social adjustment and recidivism of the youth served in the projects, on the juvenile justice system, and on the private and public social service agencies involved in the deinstitutionalization effort.

Diversion. OJJDP's Special Emphasis Program is in the process of funding a major action program initiative for diversion. It is designed to divert youths (with the exception of serious or violent offenders) who otherwise could have been processed by the juvenile justice system. Early in FY 1977, NIJJDP awarded a grant to the Behavioral Research Center in Boulder, Colo., to conduct a national evaluation designed to compare (1) the results of diversion versus continuation through the juvenile justice system, and (2) treatment versus no treatment in terms of outcomes for youths.

The evaluation will also focus on the impact of some of the projects on the behavior and attitudes of participating youth and the impact of all projects on the affected juvenile justice systems. In addition, considerable attention will be paid to documenting the diversion process, programs, and problems of implementation as they affect the impact of the projects in order to enhance future planning and/or replication efforts.

Prevention of Delinquency through Youth Serving Agencies. Early in FY 1977, NIJJDP awarded a grant to the National Council on Crime and Delinquency for a national evaluation of the Delinquency Prevention through Youth Serving Agencies program initiative. The program's objectives are to encourage positive patterns of behavior among youth living in these target communities, to increase the capability of private youth serving agencies and organizations to provide effective services to youth, and to promote community support and participation in the prevention of juvenile delinquency. Accordingly, the evaluation will be designed to determine the effects of program participation on the attitudes and behavior of youth, on local juvenile justice agencies, on the community, and on the grantee agency itself. It will consist of two parts: (1) a process evaluation to be conducted across all projects selected for funding and (2) an intensive impact evaluation to be conducted for three of the projects representing three program types.

Restitution. An evaluation of the restitution initiative has been provided for through a recently awarded NIJJDP grant to the Oregon Institute for Policy Analysis. The major objectives of this initiative are to design projects that develop and test means of providing for restitution by juvenile offenders which reduce delinquent behavior and provide victims with some redress or satisfaction. The evaluation will consist of both a process and an impact component, and it will be designed to answer the principal research question of what types of program are most effective for what types of offenders and under what conditions. The program design and implementation process will be closely examined and related to impact findings.

Reduction of Crime and Disruption in Schools. The Institute has recently awarded a grant to the Social Action Research Center in Berkeley, Calif., for a national evaluation of OJJDP's school crime program. This effort is being undertaken jointly with the Office of Education (OE). The major objectives of the action program are to reduce the incidence, severity, and consequences of school crime. Several approaches will be used that build on two OE programs providing training and technical assistance to schools. The evaluation will concentrate primarily on documenting the process by which the projects are implemented, problems encountered, success of different strategies in different settings, and outcome measures.

Other Evaluations

Massachusetts Community-Based Programs. Harvard University's Center for Criminal Justice has been evaluating the effectiveness of Massachusetts' community-based programs for juveniles since that State closed its training schools (juvenile institutions) in 1969-71. While preliminary results from this research have revealed no significant differences between community-based programs and the training schools they replaced with regard to reducing recidivism, the new programs appear to be more just and humane toward youths. Those programs that are most community-based in nature appear to be most effective. Cost-effectiveness analyses have not yet been completed.

Camp Hill. ABT Associates recently undertook an assessment of the Camp Hill project in Pennsylvania which was funded by OJJDP. The action project, presently near the end of its first year, is aimed at deinstitutionalizing juveniles incarcerated within the adult prison at Camp Hill.

ASSESSMENT CENTERS

As previously noted, one of NIJJDP's major roles is to assess, synthesize, and disseminate knowledge in the field. To meet this need, the Institute is establishing four assessment centers in universities or research organizations around the country. Three of the centers will

synthesize and assess information with regard to a different juvenile justice or delinquency topic area. The fourth will be a coordinating center.

NIJJDJP has funded the coordinating center and two assessment centers (one on the juvenile justice system and the other on alternatives to the system). The coordinating center grant was awarded to the National Council of Crime and Delinquency, Hackensack, N.J.; the juvenile justice system center to American Justice Institute, Sacramento, Calif.; and the alternatives to the system center to the School of Social Service Administration, University of Chicago. The fourth, which will concentrate on delinquent behavior and prevention, will be funded in FY 1977.

The assessment center program is viewed as a three-year effort. The Institute has allocated approximately \$1.5 million to the program for the first 18-month phase. Based on a review of each center's performance over the first phase, it is anticipated that refunding for an additional 18-month period will take place. The overall program will be evaluated toward the end of the three-year period in consideration of its continuation.

Each center will be responsible for: adding to our general knowledge base on delinquency; identifying knowledge gaps; identifying and studying promising programs; conducting state-of-the-art studies; synthesizing data and results of studies; and providing information for use in OJJDP standards development, technical assistance, and training efforts.

The coordinating center will coordinate the activities of the other centers, assist NIJJDJP in the quality control and management of the assessment centers program, and prepare an annual volume on juvenile crime and delinquency in America.

This volume will summarize what is known from the various available methods of assessment about the nature of juvenile delinquency and crime. It will describe the incidence and prevalence of the problem -- where it exists and to what degree -- and who is involved. It will also describe and summarize patterns of importance for policy or program planning. In addition, the book will provide the latest information on the effectiveness of prevention, intervention, treatment, and control approaches. Future volumes will incorporate the products generated by the assessment centers. This and other products of the assessment centers will be disseminated through the National Criminal Justice Reference Service.

STANDARDS

The JJDP Act directs the Institute to review "existing reports, data, and standards relating to the juvenile justice system in the United States." The Institute is also directed to assist the Advisory Committee to the Administrator on Standards for the Administration of Juvenile

Justice in developing standards for the administration of juvenile justice together with recommendations for administrative, legislative, and budgetary actions at the Federal, State, and local level to facilitate the adoption of those standards. The standards and implementation strategies recommended by the Advisory Committee on Standards are submitted to the President and the Congress. By delineating the functions that the juvenile justice and delinquency prevention systems should perform and the resources, programs, and procedures required to fulfill those functions, the recommended standards are intended to improve the quality and fairness of juvenile justice and the effectiveness of delinquency prevention throughout the United States.

The Institute has provided direct staff support to the Advisory Committee on Standards. Institute staff has undertaken the review of existing standards, formulated draft standards and commentary for the Committee's consideration, and prepared the volume of recommended standards and implementation strategies submitted by the Advisory Committee on Standards on September 30, 1976, as well as the Committee's September 6, 1975 and March 31, 1976 interim reports.

To assist in this effort, the Institute has provided financial support to two projects: (1) the Institute of Judicial Administration/American Bar Association Juvenile Justice Standards Project; and (2) the Task Force to Develop Standards and Goals for Juvenile Justice and Delinquency Prevention. The IJA/ABA Joint Commission, which consists of outstanding members of the legal, academic, corrections, and treatment communities, began development of a comprehensive set of standards five years ago. The 23 volumes of richly detailed standards are now being readied for publication in draft form and, like the ABA Standards on the Administration of Criminal Justice, will be submitted for approval to the American Bar Association House of Delegates.

The Juvenile Justice Task Force is part of the second phase of the work begun by the National Advisory Commission on Criminal Justice Standards and Goals in 1973. It consists of judges; attorneys, law enforcement, correctional, and school officials; and other individuals directly involved in juvenile justice and delinquency prevention activities, and is one of five task forces that have submitted sets of objectives and models to be used in State and local efforts to improve their juvenile justice system and delinquency prevention programs. In conjunction with this effort, the Task Force staff has prepared a comparative analysis of current State practices and the positions adopted by the national commissions and professional organizations which have addressed the juvenile justice field. Both the comparative analysis and the Task Force's volume of advisory standards and goals are being readied for distribution in early 1977.

The volume of standards, submitted by the Advisory Committee on Standards on September 30, 1976, contains recommendations regarding the

jurisdiction and organization of the court hearing matters relating to juveniles, the rights of the parties to judicial and administrative adjudicatory proceedings, and the alternatives, criteria, and procedures for intake, detention, and disposition, as well as a general implementation plan. In developing these recommendations, the Advisory Committee sought to take advantage of the creative thinking of the IJA/ABA Joint Commission, the Juvenile Justice Task Force, and the many other groups and organizations which have proposed standards, guidelines, and model legislation, by endorsing, whenever possible, selected standards proposed by those efforts, rather than formulating a wholly new set of prescriptions. The Advisory Committee's recommendations are being printed and will be available soon.

TRAINING

The mandate of the JJDP Act for the Institute's training program is exceedingly broad. It authorizes NIJJDP to develop, conduct, and provide training for professional, paraprofessional, and volunteer staff as well as lay persons engaged in the delivery of services to youth. The legislation specifically mentions personnel in the following categories: judges and judicial personnel, law enforcement and probation, and welfare and education staff connected with the prevention and treatment of juvenile delinquency. The Act calls for the delivery of training through methods and techniques proven successful in the treatment and control of juvenile offenders and the development of technical training teams to assist local agencies who work with juveniles.

For its first-year effort, the Institute focused on setting training priorities. It commissioned "thinking papers" from 15 national experts representative of all aspects of juvenile justice and delinquency prevention. The papers were then synthesized and discussed in a two-day conference with OJJDP staff, the authors, and other experts. As a result of that session, NIJJDP has now developed a set of goals and objectives for its training program which will serve as guidelines for planning future training activities. These future training activities will be characterized by an interdisciplinary approach, an emphasis upon delinquency prevention issues, and a focus upon policy- and decisionmakers. The training will be offered to a wide range of public and private sector individuals concerned with services for youth. The training will transfer information concerning juvenile justice and delinquency prevention theory, knowledge, and program experience.

During its first year, the Institute's training support was concentrated in three areas:

Training of Juvenile Court Judges and Other Juvenile Court Personnel. Seven hundred juvenile court judges and related court personnel were trained through a grant to the National Council of Juvenile Court Judges.

Training Correctional Educators. Project Read trained staff of 148 juvenile correctional institutions from 49 states in remedial reading techniques. In addition to teaching how to diagnose reading problems and improve reading skills of functionally illiterate youth, it placed more than 75,000 books in the hands of detained juveniles. This program won a national award from the Office of Education's Right to Read program.

Training of Law Enforcement Personnel and Youth. Young people are being encouraged to explore law enforcement as a career option through expansion of the Explorer Scout program under a recent grant to Boy Scouts of America.

Part Three

National Advisory Committee for Juvenile Justice and Delinquency Prevention

The National Advisory Committee for Juvenile Justice and Delinquency Prevention was created in 1974 by the Juvenile Justice and Delinquency Prevention Act. The Act charges the Advisory Committee with making recommendations annually to LEAA on "planning, policy, priorities, operations, and management of all Federal juvenile delinquency programs."

The Committee is composed of 21 members appointed by the President from among those with expertise in the fields of youth, juvenile delinquency, or the administration of juvenile justice. Under the law, seven Advisory Committee members must be younger than 26 years of age when appointed. This provision brings to the group the views and special concerns of the young in formulating public policy, and in the design and development of programs for delinquency prevention and justice for young people.

Advisory Committee membership is further strengthened by the requirement that a majority cannot be full-time Federal, State, or local government employees. Initially, members were appointed for terms of one, two, and three years. Subsequent members are appointed for terms of four years.

Specific responsibilities of the Advisory Committee include the following:

1. Advising the LEAA Administrator on objectives, priorities, and standards for all Federal juvenile delinquency programs.
2. Helping the Administrator prepare reports that analyze and evaluate Federal juvenile justice and delinquency prevention programs.
3. Making recommendations on the development of an annual comprehensive plan for Federal programs, one that emphasizes delinquency prevention and the diversion of young people from the traditional juvenile justice system.

The chairman of the Advisory Committee is authorized to designate subcommittees on specific issues. During the first year, the group created the following subcommittees:

1. The Advisory Committee to the Administrator on Standards for the Administration of Juvenile Justice (the Standards Committee).
2. The Advisory Committee for the National Institute for Juvenile Justice and Delinquency Prevention (the National Institute Committee).
3. The Advisory Committee on the Concentration of Federal Effort (the Concentration of Federal Effort Committee).

In September 1976, the Advisory Committee submitted its first annual report and recommendations to the Administrator of LEAA. The section that follows describes the activities of the Advisory Committee from its creation through December 1976.

ACTIVITIES AND ACHIEVEMENTS

Since its creation in 1974, the Advisory Committee has held seven two- to three-day meetings, which provided orientation for members on all Federal programs related to juvenile justice and delinquency prevention. At its first meeting, the Committee voted to hold subsequent gatherings in key cities within the federally established regions throughout the country. Members felt this would give them an opportunity to meet with local groups and individuals in the juvenile justice field and gain valuable insights from the various regions.

In recognition of the need to establish linkages with the newly appointed advisory groups at the State level, representatives from these groups were invited to participate in several meetings of the National Advisory Committee. Panel discussions were held to identify common problems and goals and to assist in developing an on-going relationship between the organizations. The Advisory Committee meetings were well attended by local youth and by representatives from public and private agencies and volunteer groups. The sessions were open, with ample opportunity for discussion.

The Advisory Committee has focused on the following matters:

1. Developing national standards in the juvenile justice area.
2. Recommending research priorities for the Institute.
3. Monitoring implementation of the JJDP Act.
4. Overseeing the coordination of appropriate Federal programs.
5. Developing and refining the Advisory Committee's organization, structure, role, and working relationships with others in the field.
6. Formulating a definition of delinquency prevention.
7. Studying the problem of youth unemployment.

Standards

Developing national standards for the administration of juvenile justice at all governmental levels is a major Advisory Committee concern. The standards subcommittee is reviewing the work of similar groups and, where possible, will endorse existing standards rather than develop a wholly new set of prescriptions.

The Advisory Committee submitted its first volume of standards to the President and Congress on September 30, 1976. The report contains recommendations regarding the organization and operations of courts that hear cases involving juveniles. The Committee will submit its final report by March 31, 1977, which will include recommendations on how to implement the measures presented. These standards focus on several major issues, including:

1. Jurisdiction and organization of courts handling juvenile matters.
2. The right of juveniles to counsel.
3. Criteria and procedures at the intake level in juvenile cases.
4. Criteria and procedures applicable to detention decisions.
5. The rights and procedures applicable to family court proceedings.
6. Structure of dispositional decisionmaking (i.e., What should be the sentencing structure in delinquency cases? What criteria should be used to decide case disposition?).

Research

The JJDP Act also calls for research, evaluation, and training programs in the youth crime field. In focusing on that goal, the Institute Committee has been working to develop priorities. These include not only training, research, and evaluation activities, but also an information clearinghouse effort. The subcommittee has also stressed the need for more research in the specific area of preventing delinquency, to supplement research on dealing with the problem once it occurs.

Among the other major issues considered by this subcommittee was the need for the Institute to do the following:

1. Closely coordinate the Institute's program with other Federal agencies involved in delinquency research.
2. Develop data on the flow of youths through the juvenile justice system and through alternatives to that system (e.g., youth service bureaus).

3. Research the factors associated with the development and maintenance of juvenile delinquency careers and the transition of youth offenders into adult criminals.

4. Explore alternative research designs and methodologies for evaluating the effectiveness of action programs in the juvenile area. In this connection, the subcommittee believes that the Institute should make a matter of public record its expectation of failure in some of its evaluation attempts. The basis of this judgment is that the state-of-the-art of evaluation research is unrefined, and the expertise available to develop evaluation approaches in this field is limited.

Implementing the Act

In terms of implementing key provisions of the Act, the Advisory Committee was particularly concerned with the goal of deinstitutionalizing status offenders--those young people whose offenses would not be considered criminal if the offenses (e.g., truancy, running away from home, incorrigibility) were committed by adults. The difficulty in mobilizing local resources to create acceptable options to detention has been a major obstacle to date; the Advisory Committee therefore considered ways to encourage the development and funding of community-based alternatives through LEAA program initiatives.

Of particular interest to the Committee is the Special Emphasis Grants Program of the Office of Juvenile Justice and Delinquency Prevention. To encourage deinstitutionalization, the Office funded 12 projects that are currently entering their second year of operation. These grants totaled \$11.9 million; all are aimed at removing status offenders from jails, detention centers, and correctional institutions over a period of two years. Some 23,748 juveniles in five States and six counties will be affected. Grants were awarded for a two-year period and range up to \$1.5 million. The average cost of services is \$420 per child.

Federal Coordination

The Advisory Committee, the Coordinating Council, and the Office form the core of the Concentration of Federal Effort activities established in response to legislative requirements to analyze, evaluate, monitor, and coordinate Federal juvenile delinquency programs.

Five Advisory Committee members serve as a liaison subcommittee to the Coordinating Council. This group attends Council meetings and has helped develop policy options for Council consideration. (Goals of the subcommittee include establishing an inventory of all Federal activities in the field of juvenile delinquency and youth crime, and

developing a monitoring procedure to determine the effectiveness of existing Federal efforts.)

In other Federal coordination work, the Advisory Committee reviewed and commented on the First Analysis and Evaluation of Federal Juvenile Delinquency Programs, prepared by OJJDP last year. This publication, which is required annually, describes current Federal juvenile delinquency programs, policies, and priorities. The Committee also reviewed the First Comprehensive Plan for All Federal Juvenile Delinquency Programs, prepared by the Office with the assistance of members of the Coordinating Council.

Organization, Role, and Relationships

Establishing procedures, internal and external working relationships, and communication links constitutes a major part of any group's first-year activities. Thus the Advisory Committee delineated its role in relation to the Office, the Institute, and the Coordinating Council. Also addressed were relationships between the three subcommittees and the full committee, and among the subcommittees themselves. To accomplish their specific tasks, the subcommittees met separately, usually for a period of one or two days prior to meetings of the full body.

The special concerns and orientation needs of the Advisory Committee's youth members were met, at their suggestion, by a special meeting in Washington conducted with LEAA officials.

On the issue of the relationship between the NAC and LEAA, there was agreement that the Advisory Committee could take an independent stand on any question, even if its view differed from LEAA's. In the event of disagreement between the Committee and its standards subcommittee, the full body can submit its comments and recommendations along with the standards subcommittee report.

The Advisory Committee recognized that while the responsibility to implement the Concentration of Federal Effort requirement rests with agencies in Washington, many of the actual powers to coordinate are at the regional, State, and local levels. Members therefore met with local representatives and discussed the problems facing regional, State, and local officials. These problems include lack of coordination among juvenile justice programs, inconsistent Federal guidelines, and conflicting deadlines.

To help solve these problems, the Committee suggested development of an experimental program within one jurisdiction, to allow for maximum flexibility at the lowest possible level within the jurisdiction; to simplify redtape, guidelines, and requirements; and to test coordination mechanisms to the absolute limits of the planning process. This

program would have impact upon all Federal youth programs operating within that jurisdiction, with the goal of determining those changes necessary to improve the flow of resources from the Federal Government to the local areas of need. In June 1976, OJJDP, with the cooperation of the Coordinating Council, contracted with a private consulting firm to develop such a program using three demonstration sites. This project is described in the "Coordinating Council" section of this report.

Defining Delinquency Prevention

Within the broad range of programs funded by the Federal Government are many which may be considered to have an impact on the problems of delinquency prevention and juvenile justice but whose primary focus lies elsewhere. One task of the National Advisory Committee is to assist in the formulation of a definition of delinquency prevention that can be used to determine which of the myriad of federally funded programs are geared most closely to the goals established by Congress when it created the OJJDP program.

Delinquency Prevention and Youth Employment

From December 8-10, 1976, the Advisory Committee held a joint meeting with the Coordinating Council. The meeting focused on the problem of youth unemployment and its relation to juvenile delinquency. The Committee heard presentations by representatives of State and local government, labor unions, and the private sector. The speakers were in general agreement that no solution to the problem of youth unemployment can succeed if it fails to take into account the larger issue of unemployment among adults.

The NAC is currently in the process of assimilating all of the information generated at the December meeting so that it can formulate a series of recommendations dealing with youth unemployment in the context of juvenile delinquency. Some of the questions that need to be answered are: What is the relationship between juvenile delinquency and employment? What would be the effect of increases in the rate of youth employment on juvenile delinquency? What programs are currently available? What can be done with current resources to increase opportunities for delinquents?

Among the issues being considered by the Committee to improve the youth employment situation are:

- Modification of age and wage restrictions to increase the employability of youth.

- Making additional Federal funds available to expand job opportunities for youth.

- Establishing work-study programs to help focus educational experience towards future employability and to ease the transition from school to work.

- The use of tax incentives or other inducements to hire young people.

Other Concerns

During the past year, the Advisory Committee identified other important concerns, including the need to do the following:

1. Develop a larger national constituency and forge new relationships with appropriate Federal, State, and local agencies. This could perhaps be done by developing a State-level model.

2. Encourage Federal agencies to become more involved in research and in leadership roles, rather than simply putting more money into existing programs.

3. Help State law enforcement planning directors assume the increased responsibility and leadership required by the Act.

4. Develop greater flexibility in the guidelines for deinstitutionalizing status offenders, to allow for local differences and political realities.

5. Press for funding in certain critical areas, including:

- a. Summer employment and other opportunities for youth--At its first meeting in April 1975, the Advisory Committee adopted a resolution that Federal money for State and local employment programs be released.

- b. Deferred funding for the 1974 Act--The Advisory Committee resolved to support congressional restoration of this money, which was subsequently restored.

RECOMMENDATIONS

The following recommendations were developed by the Advisory Committee and forwarded to the LEAA Administrator on September 30, 1976:

1. The Office of Juvenile Justice and Delinquency Prevention should continue its efforts to develop a uniform set of definitions for such terms as "juvenile delinquency" and "shelter facilities."
2. The various agencies and bodies working in the juvenile justice/delinquency prevention field should make delinquency prevention as well as juvenile justice a high priority in their programs and activities.
3. Congress and the President should support full funding for the 1974 Act, including money for appropriate staffing of the Advisory Committee and Coordinating Council.
4. The "maintenance of effort" provision of the Act, which calls for maintaining funds for LEAA juvenile justice/delinquency prevention programs at the 1972 level as a minimum, should be retained in the reauthorization of LEAA by Congress.
5. All actions that tend to merge provisions for implementing the 1968 Omnibus Crime Control Act and the 1974 juvenile delinquency law should be discouraged.
6. The U.S. Attorney General should participate in the work of the Coordinating Council to assure the involvement of policymaking officials from other executive departments.
7. LEAA should develop an integrated reporting and information system to collect, analyze, and evaluate uniformly data on all juvenile justice/delinquency prevention programs at the local, State, and Federal levels.
8. The Institute should launch more intensive research into causal factors relating to youth crime and delinquency and should monitor a longitudinal cohort study of delinquency and the factors that correlate with delinquency.
9. The Advisory Committee, through its appropriate subcommittee, should carefully monitor the program to concentrate and coordinate Federal efforts in the juvenile crime field.
10. The Advisory Committee should be more involved in setting priorities for the Special Emphasis programs.
11. Planning money should be made available annually to each State for the establishment and continued existence of a State Advisory Group, even if a State does not qualify for action money under the Act. Such a group could be a strong force in developing programs to support the Act's purposes.

12. States and localities should develop supportive services for status offenders (truants, runaways, youths with family problems). Juvenile courts should not be involved in such cases unless all other community resources have failed.*

13. To facilitate the Concentration of Federal Effort requirement of the Act, the Office of Management and Budget should be added to the Coordinating Council membership.

* It should be noted that there is disagreement within the National Advisory Committee in regard to this recommendation. After full consideration of the issues involved, the Committee Subcommittee on Standards formally adopted the above position. However, during the sixth meeting of the National Advisory Committee in Durham, N.H., on August 27, 1976, the 13 National Advisory Committee members present voted eight to five to recommend removal of status offenders from the jurisdiction of the juvenile court. The Standards Committee, in accordance with its statutory authority, considered the vote of the full Committee but, viewing its recommendation as a necessary transition step, agreed to maintain the original position noting the disagreement within the full Committee.

Part Four

Coordinating Council on Juvenile Justice and Delinquency Prevention

Within the Federal Government, several agencies administer programs directly or indirectly related to the problems of juvenile justice and youth crime. In the past, each agency has developed and conducted its youth-oriented programs independently, often unaware of the efforts of other agencies working toward the same end, and generally missing valuable opportunities to pool resources and expertise and share experiences.

Recognizing that coordination among Federal agencies with juvenile delinquency-related responsibilities would increase productivity, Congress in 1971 created the Interdepartmental Council to Coordinate all Federal Juvenile Delinquency programs, which was disbanded in 1974 with passage of the JJDP Act. The JJDP Act created a new body--the Coordinating Council on Juvenile Justice and Delinquency Prevention--with expanded responsibilities to include not only the coordination of Federal juvenile justice and delinquency prevention programs but programs administered at the State and local levels as well.

The Coordinating Council is composed of the Attorney General (chairman); the Secretary of Health, Education, and Welfare; the Secretary of Labor; the Director of the Special Action Office for Drug Abuse Prevention (later to become the Director of the National Institute for Drug Abuse); the Secretary of Housing and Urban Development; the Assistant Administrator of the Office of Juvenile Justice and Delinquency Prevention (vice-chairman); and the Deputy Assistant Administrator of the National Institute for Juvenile Justice and Delinquency Prevention. In addition, a special subcommittee of the National Advisory Committee for Juvenile Justice and Delinquency Prevention has been appointed to attend Council meetings and assist in the concentration of Federal effort. The Coordinating Council members in turn serve as ex-officio members of the Advisory Committee.

The functions and composition of the Coordinating Council are similar to those of its predecessor. But whereas the former Council was unable to make major program decisions because it lacked both funding and clearcut decisionmaking authority, with the creation of OJJDP, the present Coordinating Council has been given both a secure source of funding and the authority to establish important policy priorities and program objectives.

Activities and Achievements of the Council

Since its creation in 1974, the Coordinating Council has met eight times. One of its first activities was to establish goals and devise methods for achieving them. The Council determined that it would not limit the scope of its activities to juveniles who already had contact with the juvenile justice system but rather would also emphasize programs designed to prevent youth from becoming delinquent. Council members also agreed that, for their purposes, the term juveniles would refer to young people under the age of 18.

Budget and Policy Analyses

Another early activity of the Coordinating Council was to conduct, in conjunction with OJJDP, a budget analysis to determine how the various Federal agencies are spending money for the prevention and reduction of juvenile crime. This analysis provides an insight into the different approaches being taken by different agencies; it shows, for example, which areas are being emphasized through funding and which are being neglected. As a result of this analysis several priority funding categories were identified, including:

- Provision of services, planning and research, and training.
- Intervention in the predelinquency adjudication and postadjudication phases.
- Establishment of residential and nonresidential corrections programs.
- Provision of community-based group homes or training schools and detention centers.
- Establishment of State priorities in the use of block grant action funds.

A second major effort of the Council was to undertake a policy analysis of various types of programs to reduce or prevent delinquency, and from that analysis identify a number of activities appropriate for future consideration.

On the basis of this work, the Council developed 11 research priorities for Federal action:

1. A short-term study of offender careers in two cities. A follow-up study would be performed of all juveniles first arrested

during 1968 in two major metropolitan areas. This would be an inexpensive and relatively quick method of learning more about the development and progression of delinquent careers.

2. Double replication of the Wolfgang cohort study. These studies would replicate the landmark study directed by Dr. Marvin Wolfgang in Philadelphia which focused on the arrest histories of males born in that city in 1945. Repeating this study using youths born a decade later would indicate whether changes have occurred in the rates and patterns of delinquency.

3. Major prospective cohort study. This research effort would entail studying a large sample of very young subjects over a long period of time (10-15 years) in order to examine the development of delinquent and nondelinquent careers. The cohort and offender career studies are all structured to answer the same set of questions: What types of delinquent behavior portend serious future criminality? What patterns of behavior are best understood as isolated deviations that do not predict future criminality? How does the juvenile justice system operate? Do different types of juvenile justice system responses to youth crime lead to different patterns of future crime and delinquency?

4. The relationship between youth crime and family economic opportunity. Studies in this area could focus upon income maintenance and serious youth crime, or test the hypothesis that constraints on economic opportunity increase the rates of property crime. Another proposition is to examine whether serious youth crime is committed by groups that are immune to opportunities provided by fluctuations in the economic cycle.

5. Comparative studies of juvenile delinquency prevention strategies. These might encompass supported work, public housing, the school context, youth development approaches, defensible space, control of handgun availability, and an examination of conforming behavior; that is, a focus on approaches designed to enhance the likelihood of youth conformity as opposed to reducing deviance.

6. Special studies of youth violence. Such studies could focus on robbery, homicide, and aggravated assault, and involve examination of patterns of youth violence over time. Special attention might be given to the increasing use of firearms and to the characteristics of particular cities that have experienced the sharpest increases in rates of youth violence.

7. Annual compilation of data on youth crime. This would be a single comprehensive summary of data pertaining to the youth population in the U.S., delinquent behavior, youth arrests, juvenile courts, probation, community corrections, and institutions housing young offenders. Presentation of these and other data would permit discussion of patterns and trends in youth crime and the identification of knowledge gaps.

8. Relationship between delinquent gangs and youth criminality. In addition to research on the nature and distribution of juvenile gangs in U.S. cities, research in this area might examine the correlation between gang participation and violence. Other research might address the etiology of gangs and mechanisms of recruitment into their membership and intervention approaches.

9. Comparative study of juvenile courts. Such a study might involve collecting data on dispositions in a fairly large and representative sample of cases; determining by offense and offender type rates of different kinds of dispositions; comparing offenses recorded by the police with dispositions listed by the court; and examining the emergence of particular types of dispositions.

10. Studies of the impacts of different juvenile justice intervention techniques. Such studies might include diversion strategies, case dismissal, community placement, arbitration models, and other innovative approaches related to the administration of juvenile justice. These studies would examine the impact of such approaches on delinquent careers and the juvenile justice system.

11. Special studies of the relationship between use of hard narcotics and delinquency. These studies would explore whether a causal relationship exists between use of hard narcotics and youth crime. Attention might be given to this relationship in the context of juvenile gangs. An hypothesis that appears worth testing is that hard narcotics increase crimes of prey by creating needs for higher levels of illegitimate earnings and by recruiting youth into antisocial lifestyles.

Research Mechanism

Once these 11 research priorities had been identified and approved by the Council, a mechanism had to be found to oversee the research effort. The Council determined that: (1) the most efficient and cost-effective approach would be to operate under the auspices of an existing agency; and (2) the Interagency Panels for Research and Development on Adolescence and Childhood, sponsored by HEW, could effectively coordinate the various research programs if their memberships were expanded to include representatives from all of the agencies represented on the Coordinating Council. The Council recommended that the scope of the Interagency Panels' activities be expanded with juvenile delinquency prevention and control becoming a primary objective. It was felt that this approach would make possible the coordination of priority areas adopted by the Council and of the research and evaluation programs of other Federal agencies as well. Late in the fiscal year, the Panels agreed to the proposals and NIJJDP is now in the process of transferring funds to support the Panels' new responsibilities.

Development of Policy Statement

In March 1976, OJJDP, working closely with the Coordinating Council, issued the First Comprehensive Plan for Federal Juvenile Delinquency Programs. The Plan contained a three-part policy statement which forms the basis of the Federal approach to delinquency programs. The policy calls on all Federal agencies with delinquency prevention, treatment, or control responsibilities to determine how they can make their programs more effective and how their individual programs may be coordinated with the efforts of other Federal agencies. Three specific program objectives were identified:

- Prevent juvenile delinquency by ensuring the maximum positive development of youth.
- Lessen the inappropriate intervention of the juvenile justice system.
- Reduce serious crime committed by juveniles.

The policy statement reaches beyond the purview of Federal responsibility. It calls for the development of a mechanism whereby all juvenile delinquency-related programs can be coordinated, including those sponsored by State and local agencies and public, private, and voluntary community and consumer groups. One of the Coordinating Council's continuing responsibilities is to monitor progress in the attainment of the policy objectives.

Information System

One of the greatest barriers to the development of effective juvenile justice and delinquency prevention programs and to the coordination of existing programs among various agencies is the lack of accurate information to describe Federal program and project activities. The Council has recognized the need for improved information retrieval and has endorsed the development of a comprehensive information system. Such a system is needed to provide an accurate, up-to-date picture of the status and sponsorship of new and ongoing programs. The proposed system would enable better coordination of programs, help avoid unnecessary duplication of effort, and enable its users to identify successful programs for replication elsewhere. As a first step toward the implementation of such a system, the Council authorized a management analysis of the system's organizational and staffing needs and an analytical study of data currently collected across agency lines along with some initial research for a dictionary of common terms.

Coordinating Program Activities

To improve the coordination of Federal programming, OJJDP, with the assistance of the Coordinating Council, has established the Federal Coordinating Committee on Juvenile Justice and Delinquency Prevention. At the request of the Attorney General, representatives from about 20 juvenile delinquency-related programs within the Departments of Justice, HEW, HUD, and Labor were designated by their respective secretaries to be members of the Committee. The functions of the Committee are to assist the Coordinating Council and OJJDP in preparing the reports required by the JJDP Act and to make recommendations to OJJDP on various facets of improving the effectiveness of the overall Federal juvenile delinquency prevention effort. One of the Committee's first responsibilities was to review the criteria statement prepared for this report and presented in Part 5.

Another way in which improved coordination of delinquency-related programs has been achieved is through joint funding of programs in areas where agency concerns overlap. One such program is a project to reduce crime in the schools funded by OJJDP in cooperation with HEW's Office of Education. If successful, this program could become the prototype for additional jointly funded and administered programs, some of which could involve three or more agencies.

Joint Council/Advisory Committee Meeting

From December 8-10, 1976, the Coordinating Council and the Advisory Committee conducted their first joint meeting. The focus of the meeting was the issue of youth employment and its relation to juvenile delinquency. The meeting was designed to provide Council and Advisory Committee members with an overview of national youth employment policies, information on barriers to youth employment, and suggestions for developing future policies and initiatives in this area.

One highlight of the meeting was a presentation by Mr. Abraham Weiss, Assistant Secretary for Policy, Evaluation and Research, U.S. Department of Labor and a member of the Coordinating Council. Mr. Weiss described a cooperative effort currently underway involving the Department of Labor, HEW, and the Department of Commerce. The project is designed to assist youths in making the transition from school to employment.

Youths who wish to enter the job market face a number of obstacles:

- Many students leave school with no marketable skills.
- Most of the part-time jobs that students find during their school years are not relevant to career preparation.

- Many employers believe that teenagers are not mature enough to hold permanent career-oriented jobs.

- Career guidance in the schools is generally inadequate, and students often do not receive sufficient occupation information.

- Most schools do not provide job placement services.

The school-work transition program will attempt to address these and other problems faced by young people seeking employment. In addition, it will attempt to establish communication between schools and private industry so that school administrators can design vocation-oriented programs that provide students with the types of skills employers seek.

With Department of Labor seed money, work education councils will be established in a number of communities around the country. The councils will consist of representatives from educational, business, labor, governmental, and private institutions, and will consider issues such as the relevancy of the school curriculum to employment opportunities, establishment of work/study programs, and provision of job placement services.

Site Specific Programming

In June 1976, OJJDP contracted with a private consulting firm to develop coordinated juvenile justice and delinquency prevention service programs in three jurisdictions. The Council, along with the National Advisory Committee, participated in selecting the three demonstration sites. The Council currently is active in monitoring program progress through ongoing briefing sessions and will provide assistance in resolving problems that may arise.

The program has these specific objectives:

- To establish a strategy for integrating Federal, State, and local funds into comprehensive human service programs for youth.

- To develop information on methods which will (1) concentrate Federal efforts in juvenile justice and delinquency prevention programming, (2) improve the effectiveness and accessibility of youth services, and (3) identify barriers to coordination at the State and local levels.

- To analyze statutes, regulations, policies, and guidelines related to youth services, and to identify issues that require modification to improve effectiveness.

- To identify technical assistance needs at the Federal, State, and local levels in order to facilitate the development and operation of multiagency programs and services for youth.

The three demonstration sites are Nassau County, N.Y., Racine County, Wisc., and Los Angeles County, Calif. Preliminary work at these locations has uncovered a number of barriers that inhibit the effective coordination of juvenile justice services, among them:

- The juvenile justice and delinquency prevention structure is fragmented; law enforcement agencies, juvenile courts, probation officers, district attorneys, and social service, education, mental health, and youth service agencies are involved with juveniles to a significant extent, but coordination of effort among these entities is nonexistent in most cases.

- A basic policy stance on juvenile justice and delinquency prevention is lacking, and there is considerable difference of opinion among agencies regarding program goals.

- Even in cases where program design and policy issues have been agreed upon, Federal, State, and local resources have not been integrated because program officials are not aware of the need for coordination or of the mechanism for achieving it.

Before actual coordinated service delivery programs are designed, an effort will be made to develop a delinquency prevention and juvenile justice policy acceptable to all agencies involved.

Other Council Activities

Among the other activities that the Council has undertaken during the past year are the following:

- Assisted OJJDP in preparing a document to aid State planning agencies in the development and coordination of the sections of their annual comprehensive plans that deal with juvenile justice.

- Worked with HEW to identify programs that will be affected by the statutory requirement to deinstitutionalize status offenders and to develop services for youths who have been deinstitutionalized.

- Explored methods for increasing the ability of the Council to accomplish its objectives. One of the factors that prevented the previous Council from achieving effective coordination of Federal juvenile delinquency programs was its inability to meet staffing needs. The Council is exploring the possibility of various methods to obtain the necessary personnel. The Department of Justice will continue to provide staff assistance to both the Coordinating Council and the National Advisory Commission and has requested staff for both organizations in the FY 1978 budget requests.

Part Five

Profile of the Federal Effort

A major problem hampering Federal efforts to coordinate Federal juvenile delinquency programs has been a lack of common understanding and language to describe and define the universe of juvenile delinquency programs. To remedy this, the JJDP Act (Sec. 204(d)(1)) requires that LEAA develop and submit to the President and the Congress "a detailed statement of criteria . . . for identifying the characteristics of juvenile delinquency, juvenile delinquency prevention, diversion of youths from the juvenile justice system, and the training, treatment, and rehabilitation of juvenile delinquents." The Act (Sec. 204(d)(2)) also requires that LEAA identify Federal programs that are related "to juvenile delinquency prevention or treatment, together with a statement of the moneys expended for each such program during the most recent complete fiscal year." This identification must be made "through the use of the criteria developed"

This section of the Second Analysis and Evaluation describes the criteria statement developed in response to these requirements and reports on the scope and expenditures of the Federal juvenile delinquency effort. The criteria statement itself is presented as Appendix II.

The statement is the product of a collaborative effort to develop a comprehensive base of information regarding planning, implementation, evaluation, and coordination of Federal juvenile delinquency programs.¹ It develops a framework within which questions about the objectives, target groups, fund recipients, and activities of juvenile delinquency programs can be answered.

In developing the statement, OJJDP drew upon the knowledge and experience of three broadly representative advisory groups: the National

¹"Federal juvenile delinquency program" refers to any program or activity related to juvenile delinquency prevention, control, diversion, treatment, rehabilitation, planning, education, training, and research, including drug and alcohol abuse programs; the improvement of the juvenile justice system; and any program or activity for neglected, abandoned, or dependent youth and other youth who are in danger of becoming delinquent (P.L. 93-415, Section 103, September 7, 1974).

Advisory Committee for Juvenile Justice and Delinquency Prevention; the Federal Coordinating Committee on Juvenile Justice and Delinquency Prevention; and the Reactor Panel, which was established specifically to review this statement.

The National Advisory Committee, composed of 21 members appointed by the President, has the broad responsibility of providing policy guidance to the Administration on juvenile justice and delinquency prevention and on the concentration and coordination of Federal efforts in those areas.

The Federal Coordinating Committee is composed of approximately 20 officials representing major Federal agencies administering juvenile delinquency-related programs. At the request of the Attorney General, these agency representatives were designated by the secretaries of their respective departments to assist OJJDP and the Coordinating Council on Juvenile Justice and Delinquency Prevention with the preparation of various required reports including the Second Analysis and Evaluation of Federal Juvenile Delinquency Programs. The Committee also is responsible for assisting LEAA in making recommendations on the organization, management, personnel, standards, budget, and implementation plans necessary to improve the effectiveness of the overall Federal juvenile delinquency prevention effort.

The Reactor Panel consists of leading experts in the field of juvenile delinquency, selected from academic institutions, private nonprofit groups, and government agencies. Representatives of the Federal Coordinating Committee also served on the Reactor Panel to insure continuity across advisory groups.

Each of these groups reviewed drafts of the criteria statement and made recommendations for revising and refining it.

Organization of the Criteria Statement

The criteria statement presents a structure and a set of definitions for examining the principal facets of Federal juvenile delinquency programs. There are four primary dimensions:

1. Program Area, or the point at which the program attempts to intervene in the life of the youth or in the juvenile justice process.
2. Target Group, or the primary beneficiary of the program.
3. Fund Recipient, or the identification of recipients and administrators of programs funds.
4. Activity, or the various means programs may use to achieve program objectives.

These dimensions of the criteria statement have been identified to answer two sets of questions. The first set deals with the relationship of programs to juvenile delinquency:

1. Which programs should be considered juvenile delinquency-related?
2. What is the nature and extent of the relationship to delinquency?

The second set deals with policymaking issues within the juvenile justice and delinquency prevention field:

1. At what specific stage in the juvenile justice process does the program intervene?
2. What specific crime or social problem is targeted by the program?
3. Who benefits most immediately from the program?
4. What methods or activities are used by the program?
5. Who are the recipients of program funds?

These questions are raised frequently by Congress, agency administrators, and the public. Answers to them may provide information that will improve the overall quality and efficiency of juvenile justice programming, as well as provide a method of accounting for the use of public funds. To answer these questions consistently requires the development of a comprehensive program-based information system capable of generating the necessary data.

The dimensions of the criteria statement are summarized in Table 5.1 and presented in more detail in Appendix II. Key definitions for terms used in the following sections are included in Appendix I.

Table 5.1. SUMMARY OF DIMENSIONS AND CHARACTERISTICS

PROGRAM AREA	ACTIVITY
Prevention	Provide Training/Educational
Enforcement	Opportunities
Diversion in Lieu of	Make Capital Improvements
Adjudication	Conduct Research
Adjudication	Provide Technical Assistance
Alternatives to	Treatment of Juveniles
Institutionalization	Provisions of Services
Corrections	Accountability
TARGET GROUP	FUND RECIPIENT
Demographic	State Government Agencies
Characteristics	Local Government Agencies
Population Served	Public, Nonprofit Organizations
Involvement	or Institutions
Characteristics	Private, Nonprofit Organizations
Service Populations	or Institutions
	Profitmaking Organizations or
	Institutions
	International Organizations or
	Institutions
	Individuals
	Special Relationships

DATA SUMMARY

This section is divided into three parts: the first describes the data collection effort, the limitations of the data, and the analyses performed; the second presents an overview of all Federal juvenile delinquency programs; and the third summarizes the analysis of expenditure data. The programs on which these analyses are based are described in the companion Volume II which contains a summary of each Federal juvenile delinquency program including information on objectives, accomplishments, funding levels, relationship to juvenile delinquency, and application procedures.

Data Collection and Organization of Analyses

The information presented in this report includes tabulations and analyses of juvenile delinquency programs data submitted by Federal program administrators during a two-phase data collection effort conducted during the fall of 1976. More than 150 Federal programs were surveyed to update and supplement the program summaries and analyses that were presented to Congress in the First Analysis and Evaluation.

One of the more difficult tasks associated with this effort was insuring that interviews were conducted with individuals who could provide detailed program information including objectives, accomplishments, and administration at the Federal, State, and local levels. The Federal Coordinating Committee was particularly helpful in expediting this task. Members of the Committee identified key agency personnel to assist in preparing program summaries.

The interview instrument was developed to encourage updating of the information in the First Analysis and Evaluation, as well as to probe for more detailed information concerning the portion of the program budget that dealt exclusively with youth. For programs not designed to serve youth exclusively, the interviews sought information on the percentage (and type) of program activities that were related to juvenile delinquency and delinquency prevention. Also sought was the degree of specific involvement of programs with juvenile delinquents and the delinquency problem--directly related, indirectly related, or no demonstrable relationship.

Last year 117 programs were identified and described. This year there are 144 programs. This increase has two causes: first, while some programs have been consolidated and others discontinued, new programs have been legislated; second, this year's update is more consistent than previous surveys have been in counting programs within a particular program type. For example, last year's survey included school lunch programs but excluded school breakfast programs. This year's inventory counts both.

The data and information for each program summary were provided by the program personnel and supplemented, where necessary, with data contained in the OMB Catalogue of Federal Domestic Assistance. An attempt was made to collect detailed information about program expenditures and activities that related to juvenile delinquency. Where absolute figures were not available, estimates were given; where information was not accessible on solely the youth population served, estimated percentages were sought. To the maximum degree possible, information specific to the youth population was requested and incorporated into the program summaries and analyses. In the following analysis, estimates are noted when they are used.

A limitation of the data is caused by the broad scope of most Federal programs--multiple client groups, activities, and objectives. Estimating that portion of a program's expenditure that is either directly or indirectly related to juvenile delinquency was difficult and essentially subjective. Another limitation of this data is caused by the lack of common definitions used by program administrators in responding. For instance, program administrators were not bound by common definitions in classifying their program's relationship to juvenile delinquency; thus individual perceptions of the meanings of certain terms may be reflected in the analyses.

The difficulty of classifying programs was compounded because an overwhelming number of Federal programs are not specifically juvenile justice system-related (enforcement, adjudication, and corrections) but are essentially prevention programs designed to assist in the personal growth and development of youth. Without an accurate and comprehensive definition of what constitutes prevention and what does not, the development of a classification scheme for the data was required to analyze this particular category.

Overview of Programs

This analysis is based on data collected from 144 Federal programs representing 11 Federal departments and agencies. Approximately 135 of these programs appear officially in the Catalogue of Federal Domestic Assistance, 1976. This represents 13 percent of the total 1,026 programs listed in the Catalogue. The universe of 144 programs selected for this year's analysis represents a 23 percent increase over the 117 programs included in the First Analysis and Evaluation. As noted earlier,

this change is the result of deletions, additions, consolidations, as well as a concerted attempt to be as inclusive as possible in this year's inventory. Although a number of programs previously included were eliminated because of funding termination or termination of youth-related program aspects, a greater number of programs were identified and included on the basis of youth-relatedness.

Analysis of expenditures has been based on three funding figures: (1) FY 1975 expenditures, (2) FY 1976 expenditures, and (3) FY 1977 appropriations. In 12 cases, FY 1975 expenditures were unavailable; in 14 additional cases, FY 1977 appropriations were unavailable. To eliminate fluctuations in the analysis due to unavailable funding data, these missing figures were assigned values equal to the average of the available year's expenditure or appropriation. This technique was not applied to programs starting in FY 1976 or to programs that terminated and would not, therefore, have FY 1977 appropriation data. Averages are noted where they are used.

The total 144 programs were grouped by the sponsoring agency and appear in Table 5.2 along with agencywide FY 1976 expenditures. As this table shows, the combined FY 1976 youth-related expenditure for the universe of 144 programs was approximately \$42 billion. This represents 12 percent of the \$349.4 billion spent by all Federal agencies combined in FY 1976. This expenditure level is misleading, however, because the target groups for programs included in this analysis are seldom exclusively youth and even more seldom exclusively delinquents. Further analysis of the data, which is explained below, shows that a more accurate figure for the amount spent on youth-related programs is approximately \$20 billion.

The four largest youth-supporting agencies are the Department of Health, Education, and Welfare (HEW); the Department of Justice (DOJ); the Department of Labor (DOL); and the Department of Agriculture (USDA). HEW dominates in the analysis, with 81 programs, or 56 percent of the total. This reflects the large number of programs administered by the Public Health Services and the Office of Education. HEW also contributed the largest Federal share of dollars--58 percent of the total expenditures--of the agencies represented. USDA, DOL, and HUD rank second, third, and fourth respectively. Nine programs had individual budgets in excess of \$1 billion. Collectively these large programs

Table 5.2. SUMMARY OF PROGRAMS AND EXPENDITURES RELATED TO YOUTH BY AGENCY (FY 1976)

Agency	Number of Programs	FY 1976 Youth Expenditures (in billions)
Department of Health, Education, and Welfare (HEW)	81	\$24.2
Department of Justice, Office of Juvenile Justice and Delinquency Prevention (DOJ/OJJDP)	6	.2 ¹
Department of Justice (DOJ) - Other	11	.6
Department of Labor (DOL)	12	5.0
Department of Agriculture (USDA)	11	8.1
Department of Transportation (DOT)	10 (Other) ²	.7
Appalachian Region Commission (ARC)		
Civil Service Administration		
Community Service Administration (CSA) Action Program		
Department of Interior (DOI)	9	.2
Department of Housing and Urban Development (HUD)	4	3.1
TOTALS:	144	\$42.1

¹ Monies attributable to DOJ have been separated into two categories, as shown: (1) DOJ/OJJDP, and (2) DOJ/Other. The DOJ/OJJDP monies include monies allocated to the Bureau of Prisons for maintenance of juvenile institutions. The differentiation of DOJ monies is crucial to this analysis. To maintain comparability across agencies, the total block and discretionary grant program and other DOJ expenditures that could be attributable to youth have been included in the total DOJ expenditure figure of \$814 million. However, unlike other agencies, OJJDP's mission is highly focused on the needs of juveniles and juvenile delinquents which makes it possible to highlight the DOJ's exclusive contribution to the delinquency problem. The \$203 million contributed by the DOJ/OJJDP includes monies from LEAA's Part C and Part E Block Grant Program and other discretionary monies from both OJJDP and other DOJ programs. This \$203 million represents the total direct FY 1976 DOJ expenditure on delinquency and delinquency prevention. For purposes of analysis, both the DOJ/OJJDP and the DOJ-Other categories have been used, unless otherwise indicated.

² For purposes of analysis, these five departments have been combined into a single "Other" category because of the relatively small number of programs and the amount of expenditures involved.

account for \$31.8 billion, or 76 percent of the total FY 1976 expenditure reported in this year's analysis. These programs were:

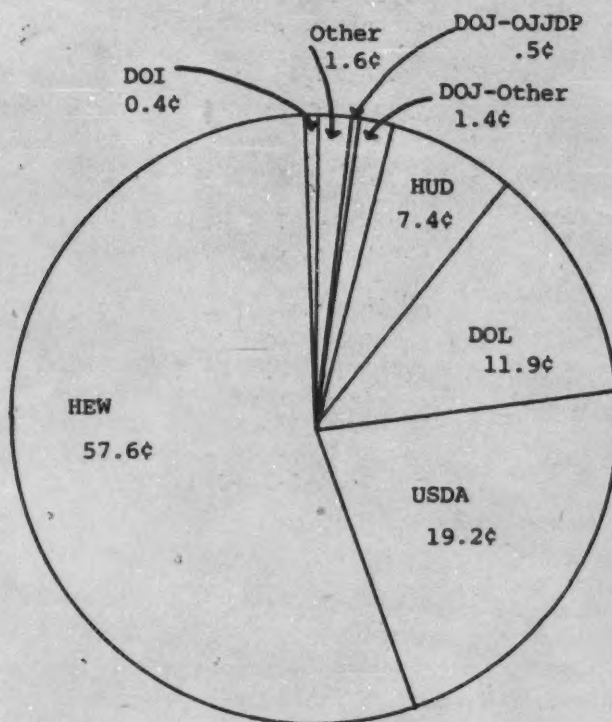
Medicaid Program	\$8.3 billion
Comprehensive Employment and Training Program	3.8
Food Stamps Program	5.7
National Lunch Program	1.4
Educationally Deprived Children-Local Educational Agencies	1.6
Maintenance Assistance Program	5.2
Community Development Program	2.8
Social Services Program	1.7
Basic Education Grants	1.3

Figure 5.1 gives another view of Federal expenditures. This shows each agency's share of the youth dollar spent in FY 1976. HEW accounts for 57.6 cents of each youth dollar. USDA funds the School Lunch Program and similar food support programs, accounting for 19.2 cents of the youth dollar. HUD spends 7.4 cents of the total youth dollar and this is used to improve housing and neighborhoods. DOL's 11.9 cents allocation consists primarily of vocational training and job development support to youth. Finally, DOJ's expenditures, although comparatively small, are directly related to the delinquent or predelinquent population and are highly focused on the delinquency problem. More than one-fifth of all program expenditures identified as having a relationship to the enforcement, adjudication, or incarceration of youths are made by OJJDP, and more than four-fifths of program expenditures linked to enforcement, adjudication, and incarceration were contributed by DOJ.

DOJ's programs have been divided into (1) those funded by OJJDP that are directly related to delinquency and (2) those administered by other offices within DOJ. In FY 1976, DOJ expended approximately \$203 million on juvenile delinquency and delinquency prevention. Over \$129 million of this were allocated through the Crime Control Act. This included:

Part C and E Block Grant Monies	=	\$102,602,251
OJJDP-Discretionary Monies	=	16,796,000
Other Discretionary Programs	=	9,929,814

Figure 5.1. TOTAL EXPENDITURES, BY AGENCY, FEDERAL YOUTH DOLLAR
(FY 1976)



An additional \$62 million were administered by OJJDP and the Bureau of Prisons. This included:

OJJDP--Concentration of Federal Effort	= \$ 1 million
OJJDP--Formula Grants	= 23 million
OJJDP--NIJJP	= 4 million
OJJDP--Special Emphasis Grants	= 15 million
OJJDP--Technical Assistance	= 2 million
Bureau of Prisons--Operation of Juvenile Institutions	= 17 million

Finally, DOJ's FY 1976 expenditures include the following transition quarter monies earmarked especially for juveniles:

JJDP Act	=	\$ 10 million
Crime Control Act	=	.4 million

The \$611 million attributed to the remaining offices within DOJ is considered only indirectly related to delinquency.

A summary of youth expenditures for all 11 agencies (see Table 5.2) for FY 1975, FY 1976, and the appropriation for FY 1977 is shown in Table 5.3. As indicated, Federal expenditures have generally been increasing. In FY 1976, expenditures for the 144 programs included in this analysis increased about eight percent over FY 1975, and are expected to increase another eight percent during FY 1977. However, when these increases are discounted by inflation, there has been virtually no change.

Significant variations in funding levels over time are shown in Table 5.4. For example, expenditures by DOJ-Other (which are only indirectly related to juvenile delinquency) have decreased by approximately 38 percent since FY 1975. This decrease can be attributed, in part, to the fact that the Law Enforcement Grants for Improving and Strengthening Law Enforcement and Criminal Justice have been reduced by nearly \$80 million each year since 1975 and the transfer of delinquency responsibilities to OJJDP in 1974.

Table 5.3. SUMMARY OF YOUTH EXPENDITURES, ALL AGENCIES
(FY 1975 - FY 1977)

FY 1975	\$38.88 billion ¹
FY 1976	\$42.10 billion
FY 1977 (projected)	\$45.38 billion

¹The approximate two-fold increase in youth-related expenditures over the \$22 billion reported in the First Analysis reflects the increase in the number of programs included in this analysis and cost increases associated with inflation.

A major difficulty in estimating how many Federal dollars are spent on youth is that, with the exception of DOJ expenditures, many programs do not differentiate between youth expenditures in general and expenditures made specifically on delinquency or delinquency prevention problems. The target group for individual programs is seldom exclusively youths and rarely specifically juvenile delinquents. To develop a more accurate estimate of the overall Federal juvenile effort and related expenditures, a Youth Expenditure Index was developed for this year's analysis. The

Table 5.4. SUMMARY OF YOUTH EXPENDITURES, BY AGENCY (PERCENT CHANGE FY 1975 - FY 1977)

Agency	Percent Change 1975 - 1977
DOJ-OJJDP	+55
HEW	+22
USDA	+16
DOL	+10
HUD	+ 9
DOI	+ 2
Other	- 4
DOJ-Other	-38

Index was calculated by using either: (1) the percentage of each program's budget applied towards services for youth, or (2) the percentage of youths served by the program. Multiplying the first percentage by the total FY 1976 expenditures provides an approximation of the proportion of funds specifically serving youths. In the absence of the first figure, the second figure was multiplied by the FY 1976 expenditure to obtain the Index.

In 53 cases program administrators were unable to provide estimates for either the percentage of the program budget applied toward youth or the number of youths served by the program. These 53 programs accounted for only \$6.9 billion or 16 percent of the total youth-related expenditures used to calculate the Index. Three HUD programs were responsible for almost half of the missing expenditure data. For the most part, these programs funded research and development, technical assistance, environmental enhancement, and specialized services. For approximately 60 programs, data were provided on the percentage of the program budget applied toward youth. For an additional 31 programs the percentage of budget applied toward youth was estimated based on the percentage of youths served by the program.

The Index for FY 1976 is \$20.407 billion or approximately 50 percent of the total youth-related expenditure. This figure provides a more accurate picture of the overall Federal effort that is related to juvenile justice and delinquency prevention.

Issues and Analyses

What follows is an analysis of the 1976 juvenile justice program and expenditure data organized to address the five policy-related questions introduced earlier in this chapter.

1. At what specific stage in the juvenile justice process does the program intervene? To respond to this question, the Program Area Dimension of the criteria statement was subdivided into two major categories: (1) prevention programs; and (2) enforcement/adjudication/corrections/diversion programs. The vast majority of Federal programs (118) were classified into the first category. Prevention programs account for \$41 billion of the FY 1976 expenditures or 98 percent of all expenditures for youth. Although these programs are classified in the prevention category, most would continue regardless of the problem of juvenile delinquency.

The second major category was initially perceived as four distinct categories, but was condensed into one when the programs were found -- almost without exception -- to be providing funds for all four. Twenty-six programs were classified in this category and these account for approximately \$1 billion expended during FY 1976, or two percent of all youth-related expenditures. Only one program was classified as exclusively providing diversion services because it provides nonsystem services for status offenders. Most of these programs were administered by DOJ. Other agencies administering programs in this category include DOI (Bureau of Indian Affairs), HEW, and DOL.

Table 5.5 summarizes information for the two categories.

Table 5.5. SUMMARY OF PROGRAM TYPES AND EXPENDITURES

	Number of Programs	FY 1976 Expenditure (million)	Percentage of Total FY 1976 Expenditures
Prevention	118	\$41,100.1	98
Enforcement/Adjudication/ Corrections/Diversion	26 ¹	1,003.9	2
	144	\$42,104.0	100

¹One of these programs -- the Runaway Youth Program in HEW -- provides diversion services exclusively.

2. What specific crime or social problem is targeted by the program? The identification of social problems targeted by Federal funds required the further breakdown of the prevention category into four subcategories defined by the primary intent of the program's authorizing legislation. These subcategories are: (1) vocational training and employment; (2) physical and mental health programs; (3) education programs; and (4) programs designed to improve the quality of the physical environment.

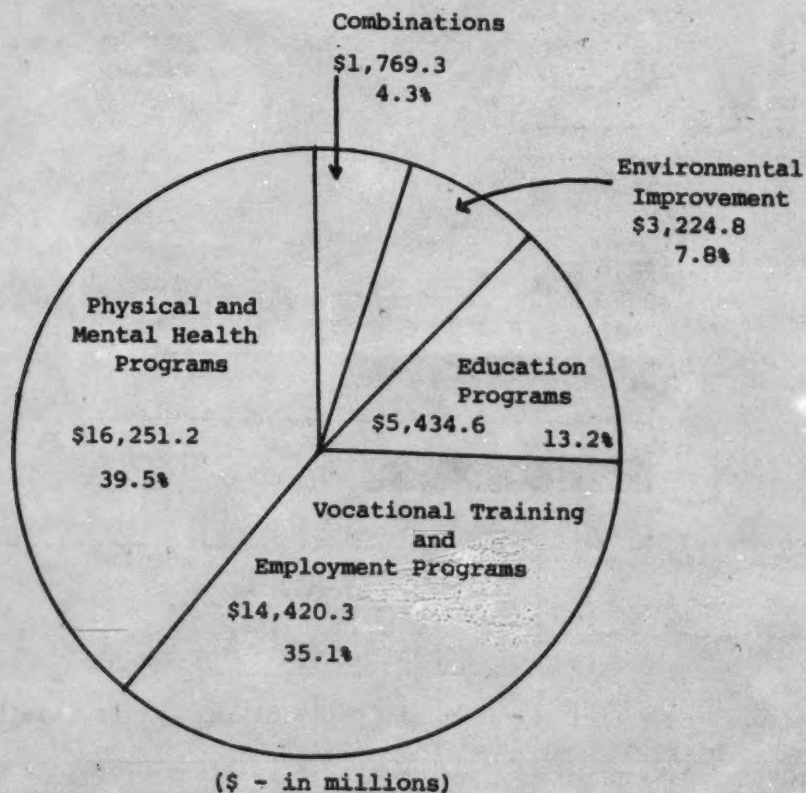
Figures 5.2 and 5.3 summarize the expenditure information. As indicated, the predominant use of Federal funds was for physical and mental health programs. These programs provide funds for physical and mental health care services and for related facilities and counseling programs. The magnitude of expenditures in the health area is influenced by two large programs: Medicaid and the Maintenance Assistance Program which account for 83 percent of all such expenditures. The second major prevention subcategory includes programs designed to provide employment opportunities or vocational training. These programs account for one-third of all youth-related expenditures. Figure 5.3 presents the same expenditure information and compares the Index for each prevention subcategory. The same 50 percent estimate remains through each category for the ratio of the Index to the total expenditure.

3. Who benefits most immediately from the program? Analysis of this question necessitated identification of the major population groups served by juvenile delinquency programs. These groups are:

1. Families (includes the general adult population in need of special services).
2. Youth-in-need of special services.
3. Adjudicated youth.
4. All youth (programs which do not differentiate the youth population).
5. Service providers.

Families were the most served population, accounting for approximately 78 percent of FY 1976 expenditures. This was followed by youth-in-need (11.4 percent), all youth (7.0 percent), and service providers (3.2 percent). Approximately \$52 million was spent by the Federal Government in programs specifically intended to serve adjudicated youths, while \$8 billion, or 18.5 percent of the total, was spent for the three youth group categories. The major agency sponsors of the three youth categories were the USDA Food and Nutrition Service, HEW Office of Education, DOL's Job Corps, the Civil Service Commission's Youth Employment Programs, and LEAA of the Department of Justice. The data suggest that a major emphasis of the overall Federal effort is directed at stabilizing the family

Figure 5.2. FY 1976 EXPENDITURES BY PREVENTION AREA¹

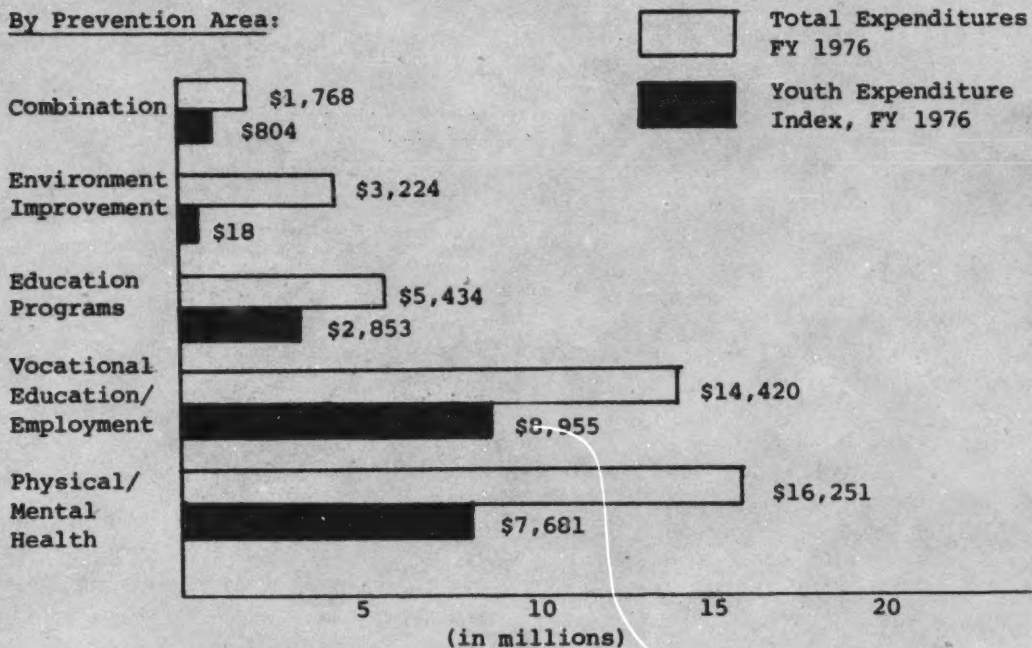


Total Number of Programs = 116

Total FY 1976 Expenditures = \$41.1 Billion

¹ The remaining programs and related budgets not captured in this chart are those which have been classified as enforcement/adjudication/corrections, four-fifths of which are supported by DOJ/LEAA funds.

Figure 5.3. COMPARISON OF 1976 TOTAL YOUTH-RELATED EXPENDITURES WITH YOUTH EXPENDITURE INDEX

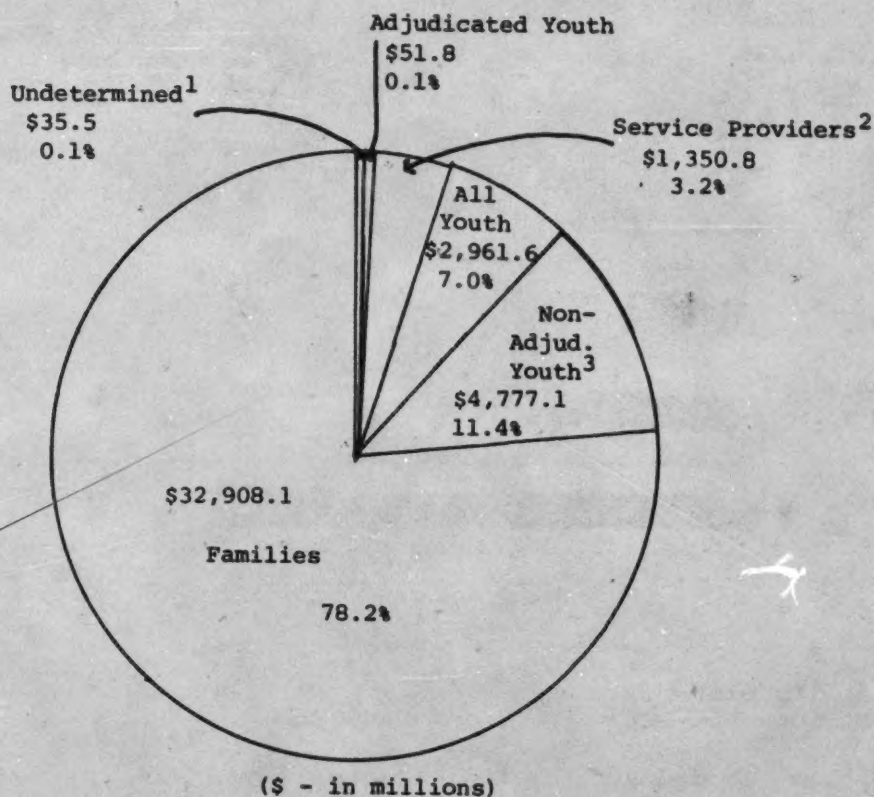


and promoting better conditions for families and the adult population, thus, indirectly serving youths and/or delinquents. Figure 5.4 summarizes program and expenditure information classified by target population, while Figure 5.5 presents the comparable Index information.

Another means of analyzing the Federal effort in terms of the three youth groups identified (adjudicated youth, youth-in-need, and all other youth), is in terms of per capita expenditures. Table 5.6 summarizes the per capita information. Figure 5.6 illustrates the same per capita expenditures graphically. Individuals in the youth-in-need group received in FY 1976 an average of approximately \$270 worth of services. Adjudicated youth received, in comparison, an average of about \$48 each.

4. What methods or activities are used by the program? Two dimensions of the criteria statement were used to address this question: (1) type of activity, and (2) the type of assistance provided. All 144 programs were classified in terms of eight primary activities: training, capital improvements, research education, technical assistance, treatment/

Figure 5.4. FY 1976 EXPENDITURES BY POPULATION SERVED

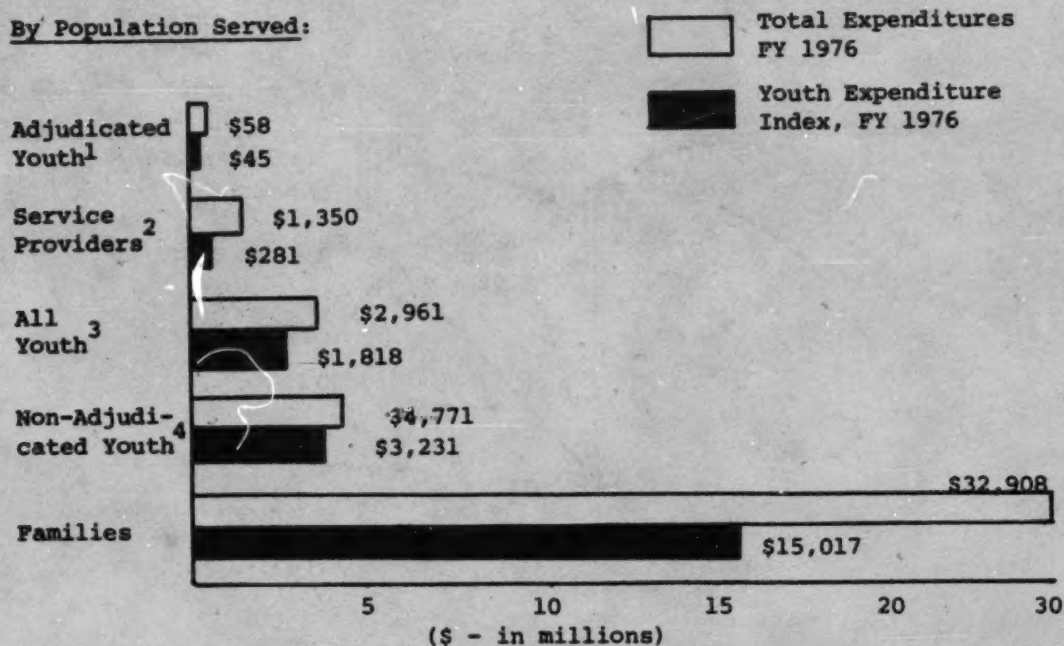


¹"Undetermined" refers to programs which could not be differentiated because they served more than one population.

²"Service Providers" are those counselors, teachers, administrators, researchers, and other personnel who are responsible for delivering services to youth.

³"Non-Adjudicated Youth" represent youth-in-need of a special service.

Figure 5.5. COMPARISON OF 1976 TOTAL YOUTH-RELATED EXPENDITURES WITH YOUTH EXPENDITURE INDEX - BY POPULATION SERVED



¹Discrepancies in funding levels are due to programs being included which address both adult and juvenile offenders.

²"Service Providers" are those counselors, teachers, administrators, researchers, and other personnel who are responsible for delivering services to youth.

³"All Youth" refers to all youths not taken into custody and not considered at risk of becoming delinquent.

⁴"Non-Adjudicated Youth" are defined as youth-in-need of services.

Table 5.6. ESTIMATES OF PER CAPITA FIGURES (FY 1976)¹

<u>Youths in Custody (1975)</u> ²	3.3	million
Expenditures for Adjudicated Youth (1976)	\$ 52.0	million
Per Adjudicated Youth Expenditure	\$ 15.41	
<u>Youth-in-Need of Special Services</u> ³	17.7	million
Expenditures for Youth-in-Need	\$ 4.7	billion
Per Youth-in-Need Expenditure	\$269.55	
<u>All Other Youth (1974 Census)</u> ⁴	62.0	million
Expenditures All Youth (1976)	\$ 2.9	billion
Per Youth Expenditure	\$ 47.76	

¹ Per capita estimates have been prepared not as an exact representation of the funds targeted for these specific groups, but as one means for putting into a reasonable perspective the overall Federal effort.

² Source: Uniform Crime Reports, 1975.

³ Source: Statistical Abstracts of the United States, extrapolated from 1970 census data. Figure represents the midpoint between youth under 21 living in families at or below the poverty level and youth under 21 living in families in the bottom quarter of the income distribution.

⁴ Extrapolated from 1974 census of the population. Figure represents all youths not taken into custody and not in need of special services.

rehabilitation, provision of generalized services, and assessment evaluation/coordination. Individual programs may perform two, three, or more activities. Therefore, specifications are not mutually exclusive; consequently, the total expenditure figure presented in Table 5.7 is overestimated.

Provision of services is the largest expenditure item, followed by education, capital improvements, technical assistance, and research, each of which had more than \$1 billion available during FY 1976. The \$.33 billion for training represents the total amount of funds available for training and not the total expenditure for training.

Figure 5.6. PER CAPITA EXPENDITURES FOR THREE YOUTH POPULATIONS (FY 1976)

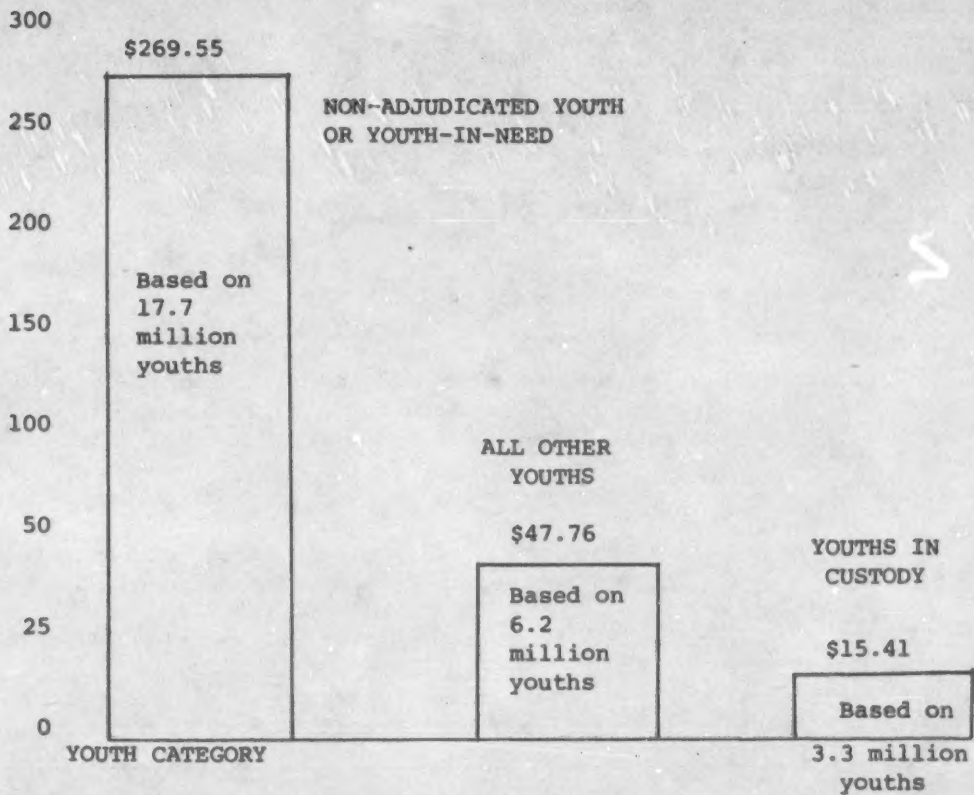


Table 5.7. TOTAL YOUTH-RELATED EXPENDITURE (BY ACTIVITY, FY 1976)

Activity	Ceiling FY 1976 Expenditure (billions)*	Percent of Total
Training	\$.33	0.8
Capital Improvement	4.2	10.0
Research	1.4	3.3
Education	10.5	24.9
Technical Assistance	1.1	2.6
Treatment/Rehabilitation ¹	.9	2.1
Generalized Services ²	34.0	80.8
Assessment/Evaluation/Coordination	.48	1.1
TOTAL	\$ 52.91	125.6

*Totals more than \$42B and 100 percent due to programs having multiple activities. Figures indicate the total of funds available for a specific type of activity. Expenditure ceiling reflects the total amount that could be spent for each activity.

¹"Treatment/Rehabilitation" has been defined as the caring for persons classified as juveniles in order to encourage them to adopt positive attitudes and behaviors.

²"Provides Services" has been defined as all services provided to juveniles and their families which contribute to the development and/or improvement of the youth's general welfare.

Nine types of financial assistance, currently defined by OMB, provide additional information on how program funds are expended. In the survey of programs, administrators were requested to identify the types of assistance their programs used and the percent of total expenditures by type of assistance. Formula grants dominate the type of assistance. The largest Federal programs are almost exclusively of this type. Programs with smaller expenditure levels are authorized to spend funds by means of project grants or other types of assistance.

5. Who are the recipients of program funds? The fund recipient dimension of the criteria statement provides a means of identifying the organization, agency, or unit of government type which is the conduit for Federal funding. Since programs are authorized to provide funds to two, three, or more types of applicants, multiple classification of programs by client eligibility was necessary. Consequently, expenditure information presented in Table 5.8 represents the total available funds per client type.

As indicated in Table 5.8, States, public nonprofit and private nonprofit institutions were each eligible for more than half of the \$42 billion total in FY 1976. Local government agencies and private profitmaking organizations were eligible for approximately 25 percent of all funds. Education and health institutions, and individuals were each eligible for less than 10 percent of the total.

Table 5.8. TOTAL YOUTH-RELATED EXPENDITURES BY CLIENT ELIGIBILITY
(FY 1976)

Client Eligibility	FY 1976 Expenditures (billions) ¹	Percent of Total ¹
State	\$23.7	56.3
Local	11.6	27.6
Public Nonprofit	22.9	54.4
Private Nonprofit	23.0	54.6
Private Profit	10.0	23.8
Educational Institutions	3.8	9.0
Health Institutions	1.1	2.6
Individual	2.7	6.4
TOTAL	98.8	234.7

¹Totals more than \$42B and 100 percent due to the multiple clients eligible for programs. Figures indicate the total amount of funds specific types of clients are eligible for.

Part Six

State Planning Requirements for Federal Programs Related to Juvenile Delinquency

The inventory of Federal juvenile delinquency programs prepared for this report last year listed 117 such programs. During the past year, OJJDP examined these programs to determine which require a formal comprehensive State plan to qualify for the receipt of Federal funds. This section of the Second Analysis and Evaluation describes the 26 programs so identified by the Office, lists their planning requirements, and compares certain of the programs' requirements and elements.

The 26 programs discussed in this section are divided according to Federal department and subdivided by bureaus within the departments. Special attention is given to programs under the jurisdiction of the Coordinating Council: the Departments of Justice; Health, Education, and Welfare; Housing and Urban Development; Labor; and the National Institute on Drug Abuse. Delinquency-related programs under the supervision of the Departments of Agriculture and Transportation also have been included. (See Table 6.1 for a breakdown of the 26 programs by department.)

The program descriptions that follow generally include summaries of the objectives, beneficiaries, magnitude, authorization, and funding cycle of the program. The catalogue number of each program from the Federal Domestic Assistance Catalogue, 1975 follows the program title. Each program summary also includes a short description of the State planning process and includes specifications of the persons or organizations responsible for initial planning, review, and approval.

Following the summaries of the State planning processes are tables showing the authorization of the program, the various components of the State plan, the required format for completing the plan, and the specific elements that the plan must contain. A figure showing the sequence of planning activities for each program also is included.

A final element compares the planning processes of the various Federal programs. Each program was examined for its target population, planning locus, planning requirements, planning cycle, scope of funding, funding cycle, plan review process, plan approval process, and evaluation components. In addition, common elements of the programs were identified and discussed.

Appendix IV lists the addresses of the regional offices that administer the particular programs. These are listed by department.

Table 6.1. FEDERAL PROGRAMS REQUIRING STATE PLANNING

DEPARTMENT OF JUSTICE

Law Enforcement Assistance Administration

1. Law Enforcement Assistance (JJDP)--
Comprehensive Planning Grants
2. Law Enforcement Assistance (JJDP)--
Formula Grants

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Social and Rehabilitative Service

3. Grants to States for Services--Title XX

Office of Education

Bureau of Occupational and Adult Education

Division of Adult Education

4. Adult Education--Grants to States

Division of Vocational and Technical Education

5. Vocational Education--Basic Grants to States
6. Vocational Education--Cooperative Education
7. Vocational Education--Innovation
8. Vocational Education--Research
9. Vocational Education--Special Needs
10. Vocational Education--Work Study

Bureau of Schools Systems

Division for the Disadvantaged

11. Educationally Deprived Children--Local Educational Agencies
12. Educationally Deprived Children--State Administration
13. Educationally Deprived Children--Migrants
14. Educationally Deprived Children--Neglected or Delinquent.

Table 6.1. FEDERAL PROGRAMS REQUIRING STATE PLANNING (Continued)

Office of Libraries and Learning Resources

15. Library Services--Grants for Public Libraries

Division of Supplementary Centers and Services

16. Supplementary Education Centers and Services,
Guidance, Counseling, and Testing

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Community Planning and Development

17. Community Development Block Grants/Entitlement
Grants

DEPARTMENT OF LABOR

Employment and Training Administration

18. Comprehensive Employment and Training (CETA)

NATIONAL INSTITUTE ON DRUG ABUSE

Alcohol, Drug Abuse, and Mental Health Administration

19. Drug Abuse Prevention Formula Grants

DEPARTMENT OF AGRICULTURE

Food and Nutrition Service

Food Stamps Division

20. Food Stamps

Child Nutrition Division

- 21. Nonfood Service Assistance for School Food
Program
- 22. National School Lunch Program
- 23. School Breakfast Program
- 24. Special Food Service Program for Children
- 25. Special Milk Program for Children

Table 6.1. FEDERAL PROGRAMS REQUIRING STATE PLANNING (Continued)

DEPARTMENT OF TRANSPORTATION

National Highway Traffic Safety Administration

26. State and Community Highway Safety Program

DEPARTMENT
OF
JUSTICE

The Department of Justice funds two programs that require comprehensive planning. Both are administered by LEAA.

LEAA's efforts to reduce and prevent crime and juvenile delinquency are authorized through the Crime Control Act of 1973 and the Juvenile Justice and Delinquency Prevention Act of 1974. Funds under both Acts are distributed to States by formula grants. The following programs have been designed to assist States in the planning and implementation of criminal justice projects. The recipients of program funds are State and local governments, public agencies, and private nonprofit organizations.

● Law Enforcement Assistance (JJDP) - Comprehensive Planning Grants. The Comprehensive Planning Grants Program awards matching grants to States to establish and support State Planning Agencies (SPAs), to combat crime and delinquency, and to improve the State criminal justice system. Funds under this program generally go to States to support their annual planning process. Forty percent of the planning money must be passed through by the States to local governments. Fifty-five SPAs and a network of regional and local planning bodies have been established with the support of this program. It is a requirement that SPAs have representatives from law enforcement and criminal justice organizations (including organizations directly related to the prevention and control of delinquency), units of local government, and public anticrime agencies. In addition, private citizens, professionals, and community groups also may be represented. In contrast, local planning agencies are, for the most part, comprised of locally elected officials. All applications for planning grants are reviewed by the Governor and sent to Washington through regional offices. In FY 1975, approximately \$55 million was granted to States to finance the planning process.

● Law Enforcement Assistance (JJDP) - Formula Grants. The program objective is to provide matching grants to implement State law enforcement programs developed in the comprehensive State plan under the previously described Comprehensive Planning Grants Program. LEAA awards grants to States and territories on the basis of population. Funds under the program may be used to improve and strengthen the

1

criminal justice system, assist localities to combat crime and delinquency, and for legislation, planning, and research and evaluation. Ultimately, program funds go to State and local governments, public agencies, and private nonprofit organizations. Program assistance is on a fiscal year basis. In FY 1975 approximately \$536 million was obligated for direct program implementation at the State and local levels.

Overview of the State Planning Process. Under both Acts, planning and formula grants are made based on State population. The premise is that crime is essentially a local problem that can be most affected through comprehensive planning at the State level. To apply for a planning grant under the Crime Control or the Juvenile Justice Acts, each State must submit a grant application. Applications for the comprehensive planning grants are prepared by the State's law enforcement planning agency after a thorough analysis of State and local crime patterns, current crime and justice programs, and current State needs and goals. The Crime Control Act requires that each State plan contain: (a) a description of the existing systems of law enforcement and criminal justice (including juvenile justice) and of existing resources available to support these systems; (b) a total and integrated analysis of the problems of the law enforcement and criminal justice system, including the juvenile justice system; (c) a description of the law enforcement, criminal justice, and juvenile justice standards and goals that are currently in existence for the criminal justice and juvenile justice systems; (d) a description of the law enforcement and criminal justice (including juvenile justice) priorities for the improvement and coordination of all aspects of law enforcement and criminal justice; and (e) a description of the direction, scope, and general types of improvements to be made in the future in law enforcement and criminal justice, including juvenile justice.

In addition, the Act specifies that each plan indicate its relationship to other relevant Federal, State, and local law enforcement and criminal justice plans and systems and other relevant human services plans and systems with particular attention to programs for youth including relevant social, educational, training, and manpower development services. (This criteria is not a requirement for the FY 1976 plan but it is a requirement for the FY 1977 plan.) The plan also should indicate the organizational systems and arrangements for implementing the plan and address advanced practices in recruitment, organization, training, and education of law enforcement and criminal justice personnel.

Applications for planning grants are reviewed by the Governor's office according to OMB Circular A-95 and are sent through the regional LEAA offices. To be eligible for FY 1977 funds, the planning grant applications were due at the appropriate regional office by July 1, 1976.

To implement action programs under both the Juvenile Justice and Crime Control Acts, States must submit an annual comprehensive plan. The formula grants under the Juvenile Justice Act are made to States on the basis of State population under the age of 18. The purpose is to assist States in establishing, operating, coordinating, and evaluating juvenile justice projects. Individuals may bring their project ideas to the SPA to be considered for inclusion in the comprehensive plan. Thus, private citizens are able to obtain funding for local criminal justice projects through their State agency.

The comprehensive plan must include a multi-year plan, an annual action program description, an evaluation of the planning procedures section, a special requirements component, and a section on the administrative, fiscal, and implementation requirements of the plan. Annual plans are developed in coordination with local groups and submitted to the Governor for review. Upon gubernatorial approval, plans are sent to Washington through the regional LEAA offices. The comprehensive plans were due at the appropriate regional office by August 31, 1976 for FY 1977 program funds. (See Table 6.2 and Figure 6.1.)

Table 6.2. PLANNING REQUIREMENTS*

Components	Authorization	Appropriate Form	Required Content
MULTI-YEAR PLAN	Crime Control Act of 1973, PL 93-83		
a. Crime analysis		Structured narrative and charts	• Detailed analysis of crime showing the problems it has caused the public and governmental agencies • Description of the scope, nature, and trends of crime in the state • Presentation of the rates of various crimes
b. Resources available to meet the crime problem		Structured narrative and charts	• Description of the existing systems and available resources of the state to meet the crime problem • Description of system performance in controlling crime • Description of the capabilities of the criminal justice system
c. Problem analysis		Narrative	• Description of the major needs and problems in the state, with emphasis on crime and criminal justice systems • Analysis of the needs for data for planning and management • Description of the problems faced by criminal justice systems in analyzing state crime trends
d. Goals and objectives		Narrative	• Description of all state goals for crime reduction • Description of long- and short-range goals and objectives • Description of how the goals relate to the earlier statements of problems
e. Criminal justice standards		Narrative	• Description of state standards to improve levels of performance of criminal justice agencies • Description of state's methods for implementing standards • Timetable for developing new standards • Description of the relationship of the standards to the state's goals
f. Priorities		Narrative	• Description of the state's justice priorities • Description of how the state arrived at the priorities • Explanation of how the priorities relate to the state's criminal justice goals and current problems

continued

Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
g. Multi-year forecast of accomplishments		Narrative	• Description of how the state expects to implement and achieve its objectives for the first, second, and third years of the multi-year plan • Description of expected accomplishments for each year
h. Multi-year budget and financial plan		Narrative	• Description of state and local expenditures • Description of all LEAA funds and non-LEAA funds used for state justice activities • Projected expenditures in each program area • Estimated annual budget • Estimated budget for following two years • Relationship of budget to state priorities, problems, and goals
ANNUAL ACTION PROGRAM			
a. Program description		Narrative	• Brief description of each program for which funds are requested; including title, objectives, how the program meets unmet needs, standards, goals, implementation strategy, sub-grant data, budget, evaluation data, and program descriptors
b. Compliance with funding limitations		Narrative	• Description of how a percentage of the fiscal year's funds will be made available to local law enforcement units • Description of construction expenditures under Parts C and E of the federal grant • Estimation of all personnel compensation from Part C funds
c. Local participation and fund balance		Narrative	• Description of how the state will encourage local initiative in the development of law enforcement projects • Description of how the state will provide funding incentives to units of government that coordinate justice functions • Description of how the state will insure appropriately balanced allocations of funds from the state to the local units
d. Allocation to substantive areas of law enforcement		Narrative	• Demonstration that the state's division of funds among principal state subdivisions are comprehensive

continued

Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
UTILIZATION OF RESULTS OF PERFORMANCE MEASUREMENT			
a. Intensive evaluation		Narrative and data	• Description of evaluations of selected projects • Description of projects to be evaluated in the coming year • Description of how the evaluations were planned and implemented
b. Progress report		Narrative	• Progress report for each program in the prior year's plan; including title, goals, program impact, and evaluation
c. Uses of data from audits, monitoring and evaluation		Narrative	• Description of how auditing, monitoring, and evaluation data have been used by the state
SPECIAL REQUIREMENTS			
a. Use of latest data		Narrative	• Indication of all data sources and the dates for which the data is valid
b. Related plans, programs, and systems		Narrative	• Description of the relationship of the plan to other state or local law enforcement plans and systems • Description of justice plans which have not been included in the comprehensive plan • Description of how the plan relates to the efforts of other federal efforts
c. Encouragement of coordination		Narrative	• Evidence that the SPA has encouraged coordination among criminal justice agencies • Evidence that the SPA has combined efforts of agencies and units of government
d. Combined use of facilities		Narrative	• Description of state use of facilities • Provisions for innovative techniques in the design of facilities
e. Functional area coverage		Narrative	• Coverage of all aspects of the criminal justice system, and description of all components
f. Allocation of funds to high crime areas		Narrative	• Description for the the past and current action years with appropriate dollar figures that adequate assistance has been allocated to high-crime areas

continued

Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
			• Estimate of Part C and E funds to areas of high crime • Analysis of high crime and criminal justice activity • Description of the allocation of funds to high-crime areas
g. Special requirements for juvenile justice		Summary page	• Description of a comprehensive program for the improvement of juvenile justice
h. Requirements for Part E funds		Summary page	• Reference to the location of all pertinent text and data relevant to the Part E program for construction, renovation, or acquisition of correctional facilities • Assurances that the state will control all property funds and titles through some public agency • Assurances that the availability of Part E funds will not decrease the availability Part C funds • Assurances that Part E programming will use advanced techniques in the design of institutions • Assurances that the state will share correctional facilities on a regional basis • Assurances that the state is engaging in projects to recruit and train competent corrections personnel • Assurances that the planning and development of all architectural designs will conform to regulations • Assurances that Part E funds will not be used for upkeep and maintenance on correctional facilities • Assurances that the state will meet construction specifications for special program needs, e.g., female offenders, drug abusers, alcoholics, etc. • Assurances that special administrative requirements dealing with objectives, architectural, and cost data will be made applicable to subgrantees and contractors • Description of how the Part E emphasizes the development of community-based correctional facilities and programs • Assurances that the state's personnel standards and programs receiving Part E funds will reflect advanced practices

continued

Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
			•Description of how the state will conduct an effort to provide drug and alcoholism treatment for addicts within correctional facilities •Description of how the state plans to provide monitoring procedures on the progress and improvement of the correctional system
i. Organized crime and civil disorders		Narrative	•Description of projects in the areas of organized crime, riots, and civil disorders •Description of the amount of emphasis put on this area and reasons why •Description of projects dealing with terrorism
j. Manpower plans		Narrative	•Description of the state's plan to develop and implement advanced practices in recruiting, organization, training, and education of manpower •Description of the state's recruitment of women and minorities
k. Information systems		Narrative	•Description of the methods and systems used to improve the criminal justice information systems
l. Research and development		Narrative	•Description of the state's research and development activities in the areas of criminal justice
m. Technical assistance		Narrative	•Demonstration that the state is willing to contribute technical assistance for developing, planning, and managing local projects •Description of the state's strategy to supply local units with technical assistance
ADMINISTRATIVE REQUIREMENTS			
a. Plan administration		Narrative	•Description of the administrative mechanisms for the plan
PLAN SUPERVISION AND ADMINISTRATION	Juvenile Justice and Delinquency Prevention Act of 1974, PL 93-415	Narrative	•Designation of the SPA as having sole responsibility for preparing and administering the plan •Description of the background and qualifications of the designated planners •Designation of one full-time person with responsibility for the plan

continued

Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
Plan Implementation		Narrative	• Evidence that the SPA has the authority to implement the plan • Description of how the SPA will exercise its authority
Advisory Group		Narrative	• List of the Advisory Group members • List of the responsibilities and duties of the Advisory Group
Consultation of Local Governments		Narrative	• Description of the nature, frequency, and quality of the consultation process with the local governments • Description of how local governments participate in the planning process
Participation of Local Governments		Narrative	• Indication of which units of local government have chosen to participate in the planning process • Designation of the name and title of the chief executive office of each unit
Pass-through Requirement		Narrative	• Assurances that two thirds of the program funds received by the state will be spent by the local governments
Non-supplantation of funds		Narrative	• Assurances that the federal funds allocated to the states will be used to supplement (but not supplant) state and local funds
Participation of Private Agencies		Narrative	• Description of the SPA's frequency and quality of consultation with private agencies
Other Terms		Narrative	• Assurance to abide by any other planning requirement according to law
Monitoring and Evaluation		Narrative	• Provisions for monitoring, evaluation, and auditing the performance of subgrantees
REQUIREMENTS FOR PARTICIPATING IN FUNDING UNDER THE JDP ACT a. Needs assessment		Narrative	• State definitions of juvenile delinquency • Study of the state's handling of juvenile offenders • Analysis of the state's juvenile justice system effectiveness • Analysis of the nature of the delinquency problem • Description of existing programs for youth • Statement of itemized costs and program priorities

continued

Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
b. Use of existing programs		Narrative	• Description of all state efforts related to delinquency prevention and rehabilitation • Description of how the SPA coordinates those services
c. Equitable distribution		Narrative	• Assurance that the SPA will distributed funds on an equitable basis • Description of how funds will be distributed
d. Advanced techniques		Narrative	• Assurance that at least 75% of the juvenile justice funds will be used to support advanced techniques • Description of advanced techniques in developing, maintaining, and expanding programs
e. Research, training and evaluation capacity		Narrative	• Description of the state's development of an adequate research, training, and evaluation capacity
f. Status offenders		Narrative	• Description of the state's plan, procedures, and timetable assuring that within two years of plan submission juvenile status offenders will be placed in sheltered facilities, group homes, or community-based alternatives
g. Contact with incarcerated adults		Narrative	• Description of the state's plan and timetable for assuring that delinquents will not be detained or confined in an institution with incarcerated adults • Where delinquents are incarcerated with adults, description of how the state assures no regular contact between the juveniles and adults • Description of the legal and fiscal constraints to separating juvenile and adult offenders • Assurance that the states will not reclassify delinquents as adults to avoid separating adults and delinquents
h. Monitoring of correctional facilities		Narrative	• Description of how the state plans to provide for accurate monitoring of jails, detention facilities, correctional facilities, and other secure facilities • Survey of the number of delinquents by crime who are incarcerated in various institutions • Description of on-site visits to correctional facilities

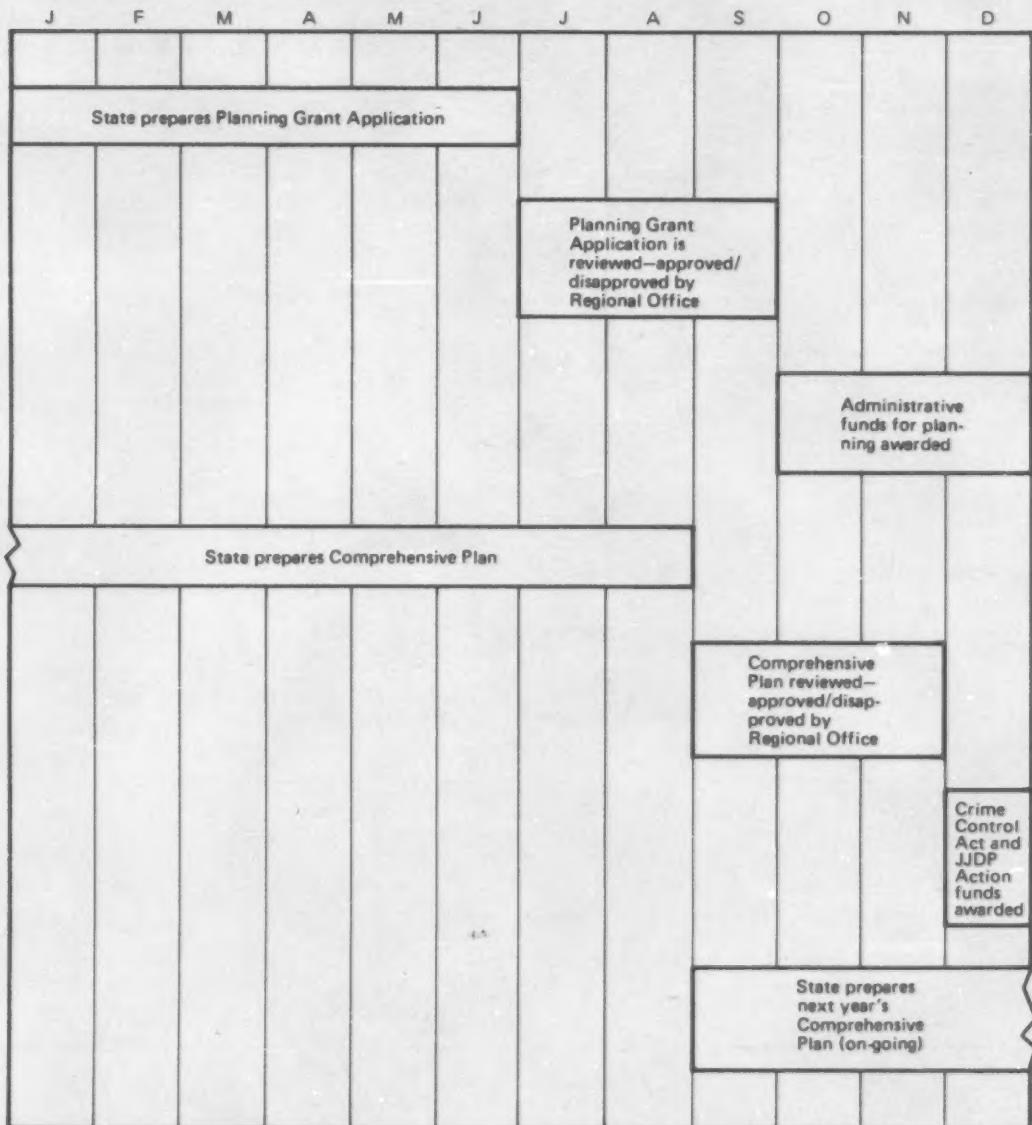
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Table 6.2. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
i. Equitable assistance to disadvantaged youth		Narrative	• Description of the state's efforts to provide equitable assistance to all ethnic minorities, women, and the handicapped
j. Rights of privacy		Narrative	• Description of the state's methods for protecting the privacy rights of persons receiving juvenile justice services
k. Employee arrangements		Narrative	• Description of the state's methods for protecting the interests of employees affected under the Act • Description of the degree to which state employees are affected by the Act
l. Analysis and evaluation		Narrative	• Assurances that the SPA annually reviews its plans and incorporates the results of evaluation and monitoring activities
m. Continuation support		Narrative	• Description of each state program indicating the number of years for which an applicant may request support for a project • Description of project application procedures • Determination of project timespan • Specification of project extensions and terminations

- * A complete discussion of requirements for assistance under the Crime Control and the Juvenile Justice and Delinquency Prevention Acts is offered in M4100.1E, GUIDELINE MANUAL: State Planning Agency Grants, and is available through the Regional Offices of LEAA or the Law Enforcement Assistance Administration, Department of Justice, Washington, DC 20531.

Figure 6.1. PLANNING CYCLE



DEPARTMENT
OF
HEALTH,
EDUCATION,
AND
WELFARE

The Department of Health, Education, and Welfare (HEW) has two major offices that fund State programs requiring comprehensive planning: Office of Social and Rehabilitation Service and Office of Education.

OFFICE OF SOCIAL AND REHABILITATION SERVICE

This office administers one program requiring planning:

- Grants to States for Services Title XX (13.754). Title XX of the Social Security Act was signed into law on January 4, 1975, and became active in October 1975. Under Title XX, citizens of States are provided the opportunity to actively participate in the development of social service programs carried out by States. The purpose of the social service programs is to help public assistance recipients attain minimum dependence on public welfare. Services are oriented toward achieving employment, self-care, and family stability. Each of the 51 programs varies widely with regard to the services provided, eligibility requirements for social services, State agency administration, and the proportions of Federal, State, and local funds involved. Congress has authorized up to \$2.5 billion for each fiscal year. The formula grants available under the program are allocated to States and the District of Columbia on the basis of population.

Overview of the State Planning Process. Until the passage of Title XX, the social services plan for each State had to be approved by the Federal Government. Under Title XX, social service plans will be subject to review by the State's citizens rather than the Federal Government. Therefore, the plan will be a product of the cooperative effort of the State and its citizens. Title XX does specify one requirement, however; at least one service provided must be directed to: (a) help people become or remain economically self-supporting; (b) help people become self-sufficient; (c) protect children and adults who cannot protect themselves from abuse, neglect, and exploitation; (d) prevent and reduce inappropriate institutional care; or (e) arrange for appropriate placement and services in an institution when it is in an individual's best interest.

The Governor normally selects a social service agency within the State to develop the State's plan. The agency gathers information on needs and resources, sets priorities, decides on the services to be offered, designs a budget, coordinates activities, and develops evaluation procedures. Each State agency then prepares a plan showing how it proposes to provide social services during the coming year and makes it available to the public for a 45-day review. After citizen input, a final comprehensive services plan is prepared and submitted to the Office of Social and Rehabilitation Service. New programs begin at the start of each fiscal year. Any amendment or change to the plan is developed by the State agency and posted for a 30-day review by the State's citizens. (See Table 6.3 and Figure 6.2.)

For additional information, contact the Office of Social and Rehabilitation Service, U.S. Department of Health, Education, and Welfare, Washington, D.C. 20201.

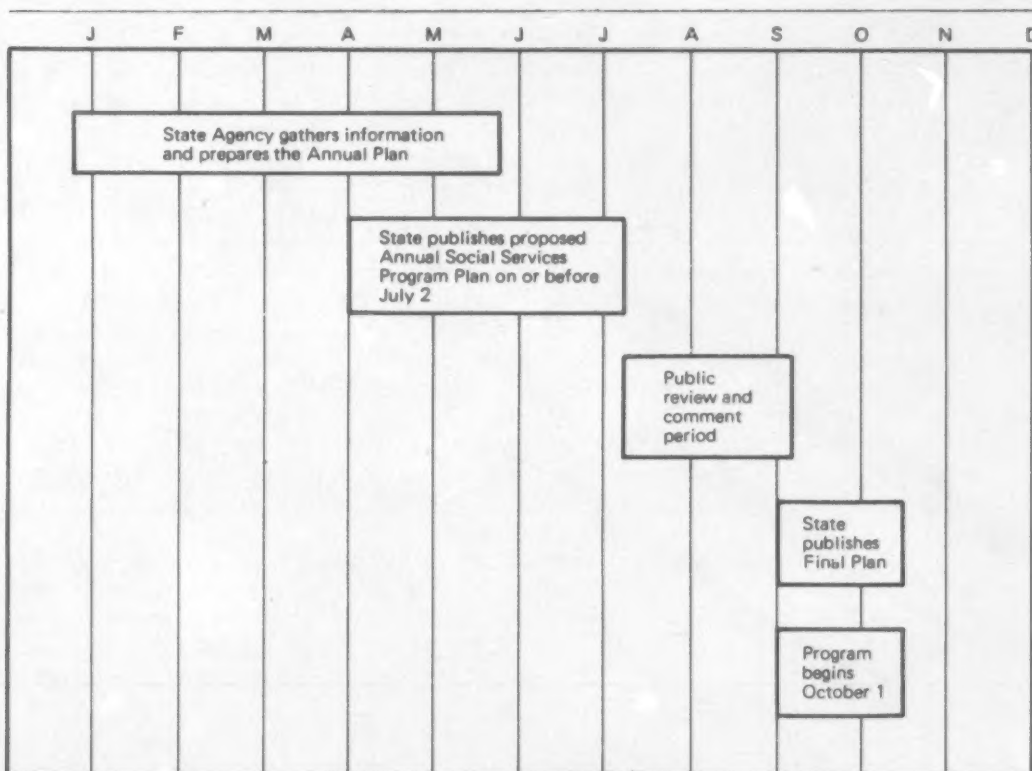
Table 6.3. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
SOCIAL SERVICES PLAN	Social Security Act of 1975, Title XX	Unspecified format	• Objectives to be achieved under program • Description of services to be provided under the program, including at least one service directed at each of the goals listed in the "Overview of the State Planning Process" • Description of the categories of individuals to whom services are to be provided • Description of the geographic areas in which those services are to be provided • Description of the nature and amount of all services to be provided in each geographic area • Description of the planning, evaluation, and reporting activities to be carried out under the program • Description of the facilities to be used to carry out the program • Description of the organizational structure through which the program will be administered • Description of how the provision of services will be coordinated with other human service programs, especially those to meet needs of low-income persons

Table 6.3. PLANNING REQUIREMENTS (Continued)

a. Costs		Unspecified format	Estimated expenditures under the program; including expenditures with respect to services provided, expenditures by categories of individuals served, and comparisons between federal and non-federal service expenditures
b. Assurance		Unspecified format	Description of the steps taken to assure that the needs of all residents and all all geographic areas in the State were taken into account in the development of the plan
c. Evaluation		Unspecified format	Description of the planning, evaluation, and reporting activities for implementing the program

Figure 6.2. PLANNING CYCLE



OFFICE OF EDUCATION

Within the Office of Education (OE), two bureaus administer grant programs requiring comprehensive planning. These are: Bureau of Occupational and Adult Education and Bureau of School Systems. Programs within these bureaus are administered by separate divisions.

Bureau of Occupational and Adult Education: Division of Adult Education

One program requiring planning is administered by this division:

- Adult Education--Grants to states (13.400). The Grants to States Program is part of the Bureau of Occupational and Adult Education within the Office of Education. The program objectives are to expand educational opportunities and to encourage the establishment of adult education programs which will enable all adults to continue their education up to or beyond the high school level. The program's formula grants are intended for adults 16 years or older who have not achieved the twelfth-grade level of education. Special emphasis is placed on providing basic education classes for adults with less than an eighth-grade education.

Overview of the State Planning Process. To be eligible for funds under this program, each State must submit to the appropriate HEW regional office an annual program plan that sets the procedures under which the State will carry out activities to achieve its annual program objectives. Before submission to the regional director, the program plan must be reviewed by the State's Governor, the State's advisory council, the State attorney general, and the public. The regional director of Occupational and Adult Education provides guidance on specific problems and technical assistance in the preparation of plans. The plan is reviewed under procedures in Part I of OMB Circular A-95 (revised). The plan must be received by the OE before the beginning of the fiscal year for which funds are requested. The OE commissioner returns the approved program plan to the director of Occupational and Adult Education in the appropriate regional HEW office. The director notifies the State of Federal program approval. When funds become available, the regional office transmits formal notice of the amount of the grant award to the State.

In the annual plan, the State must include a State-Federal agreement, a description of priorities and objectives, a State needs assessment, and a long-range plan. Funds for the program are made available each fiscal year. In FY 1975 an estimated \$67.5 million was made available to States under the Adult Education--Grants to States Program. (See Table 6.4 and Figure 6.3.)

Instructions for preparing State plans are available through the Division of Adult Education Program, Bureau of Occupational and Adult Education, Office of Education, Washington, D.C. 20202, or through the appropriate HEW regional office.

Table 6.4. PLANNING REQUIREMENTS

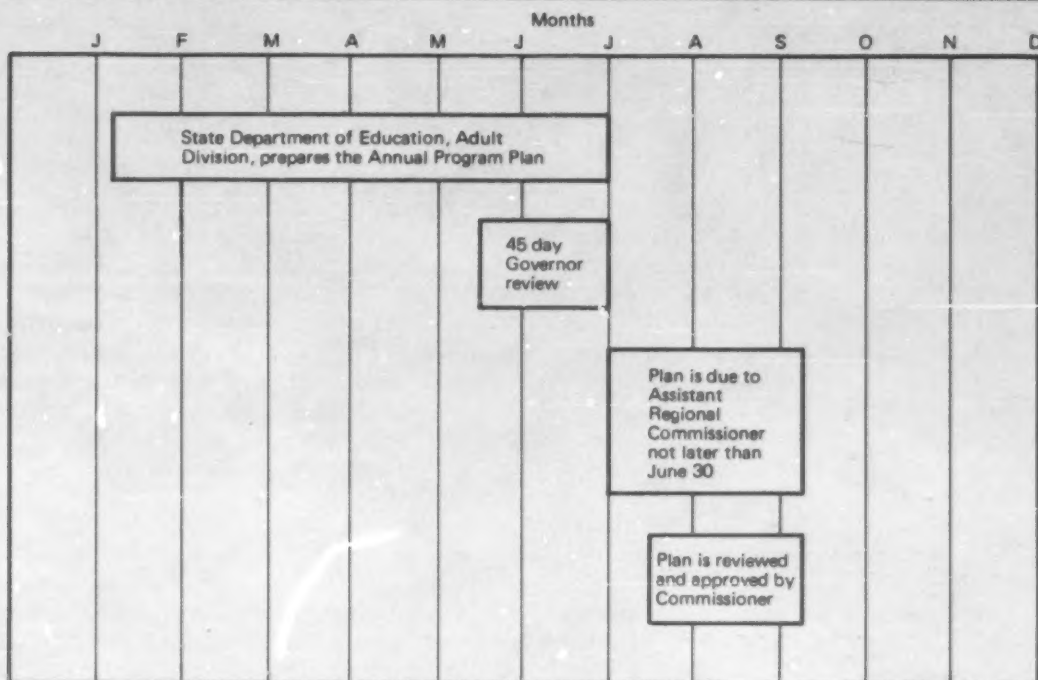
Components	Authorization	Appropriate Form	Required Content*
BASIC INFORMATION	Adult Education Act, PL 91-230	Standardized cover sheet	• Name of State • Date on which plan is effective • Authorizing officials
a. Assurances		Standardized State-Federal Agreement Form	• Assurance that program will be administered according to law • Assurance that State has cooperated with State Health Authorities • Assurance that the State will provide support to local agencies • Assurance that at least 15% of funds are used for special projects and training • Assurance that the State cooperates with community groups • Assurance that the State will cooperate with manpower development and training programs • Assurance that the State will emphasize adult basic education programs • Assurance that the State will provide any further assurance that may be required • Assurance of availability of State funds for the program • Assurances of Civil Rights compliance • Assurance the the State's governor has reviewed the plan • Assurance that federal funds for the program not exceed 20% of the federal allotment to the State • Assurance of special assistance to persons of limited English-speaking ability • Assurance that not more than 20% of program funds be used for adults in institutions • Assurance that the plan has been developed by the State agency • Assurance that the State will not approve any project under the program without screening the quality of personnel, facilities, and administration • Assurance that the State will monitor the performance of all program activities • Assurance that the State's plan is properly authorized and submitted • Signature of authorized official

Table 6.4. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
b. Program Description		Unspecified format	Description of annual objectives and priorities Description of all relevant State policies and procedures Criteria for review of special projects Procedures for submission of project applications Criteria for establishment of review panels Criteria for selection of training participants Procedures for disposition of project applications Procedures for hearings and appeals Program costs Program evaluation procedures Reporting requirements Procedures for dissemination of project results
c. Long-range Plan		Unspecified format	Description of long-range priorities

* It is also suggested—but not required—that the State plan include a State map, an organizational chart, a listing of the State's advisory councils and the local advisory councils.

Figure 6.3. PLANNING CYCLE



Bureau of Occupational and Adult Education: Division of Vocational and Technical Education

The following programs within the Division of Vocational and Technical Education have identical basic planning requirements. Any State that applies for Federal formula grants can use a single plan to meet the planning requirements for all programs described below.

● Vocational Education - Basic Grants to States (13.493). The objective of this program is to help conduct vocational programs throughout the States for persons of all ages who desire and need career education and training. Formula grants are made to States, which are required to set aside 15 percent of those funds for the disadvantaged. Funds may also be used for the construction of facilities. Assistance under the program is available on a fiscal year basis. All applications and plans are due before the beginning of the fiscal year. In FY 1975 a total of about \$428 million was obligated under the program. The funds are allotted on the basis of a formula that takes into consideration the proportion of various age groups in the State's population.

● Vocational Education - Cooperative Education (13.495). This program is a branch of the Division of Vocational and Technical Education in the Bureau of Occupational and Adult Education, OE. The program grants promote arrangements between schools and employers that enable students to receive vocational instruction in schools and related on-the-job training through part-time employment. Training is offered in areas such as marketing and distribution, business and office, trade, and industrial and health occupations. Most new programs are being developed in areas with high concentrations of school dropouts and unemployed youth. Formula grants are available each fiscal year. Continuing projects must renew their applications each fiscal year. In FY 1975 an estimated total of \$19.5 million was spent under the program. States draw funds as needed under a Letter of Credit.

● Vocational Education - Innovation (13.502). The Innovation Program also is operated within OE's Bureau of Occupational and Adult Education. The program purposes are to develop, establish, and operate occupational education programs as models for vocational education efforts. Special program emphasis is placed on youths who have academic, socioeconomic, or other handicaps. Formula grants are available each fiscal year. It is preferable that applications for program funds be received before the beginning of the respective fiscal year. In FY 1975 approximately \$16.7 million was obligated.

● Vocational Education - Research (13.498). The Research Program is part of the Division of Research and Demonstration, Bureau of Occupational and Adult Education. The objectives of the program are to provide research, training, and experimental programs designed to meet the special vocational needs of youth and to report on information

derived from the projects. Formula and project grants are available to institutions of higher education, public and private agencies, and local education agencies for research in vocational education, training programs, and pilot projects. Applications for formula grants should be made before the beginning of the fiscal year. Funds are allotted by a formula that considers the proportion of the State's population in various age groups. In FY 1975 an estimated total of \$18 million dollars was obligated under the program.

● Vocational Education - Special Needs (13.499). The Special Needs Program is a branch of the Division of Vocational and Technical Education in the Bureau of Occupational and Adult Education. The program objective is to provide vocational education programs for persons with academic, socioeconomic, or social handicaps that prevent them from succeeding in regular vocational education programs. Program funds have been used for teachers trained in remedial and bilingual specialities, staff aides, additional counseling services, facilities, and instructional materials and equipment. Program funds are available on a fiscal year basis. State applications for formula grants are due prior to the beginning of the fiscal year. In FY 1975 an estimated total of \$20 million was allocated to States under this program.

● Vocational Education - Work Study (13.501). The Work Study Program is administered by the Division of Vocational and Technical Education within the Bureau of Vocational and Adult Education. The program is essentially an income maintenance program for youth who want to continue with schooling but, for economic reasons, must leave school to work. The program objective is to help economically disadvantaged, full-time vocational educational students between the ages of 15-20 years to remain in school by providing part-time employment with public employers. Only about 2 percent of the Federal funds are used for administration; nearly all monies go directly to needy students in the form of wages for public service jobs. State applications for Federal funds under this program are due before the beginning of the fiscal year. In FY 1975 an estimated total of \$9.8 million was obligated under the program.

Overview of the State Planning Process. To be eligible for funds under these six vocational education programs, each State must submit a plan annually. The requirements for each program are identical, except for some program-specific descriptions, and may be met within a single State plan. State boards of vocational education are eligible for the formula grant portions of the respective programs. Plans for each program are developed by the State board for vocational education in cooperation with the State's advisory council. All plans and plan amendments are subject to a public hearing and must be made available to the public. In addition, a gubernatorial review of the State plan is required under Part III of the OMB Circular A-95 (revised). State

plans or plan amendments are then submitted to the director of Occupational and Adult Education in the HEW regional office, who forwards the plans to Washington. All plans are due on June 30 of each year.

The U.S. Commissioner of Education returns the approved State plan or plan amendments to HEW's regional director of Occupational and Adult Education, who in turn notifies the State board. When funds become available, the regional office transmits formal notice of grant award to the State board. The plan must include a detailed description of the State's programs, services, and activities under the Vocational Educational Act of 1963, and should include the policies and operating procedures that the State will use to maintain the program and develop new programs. Funds are allocated to States based on percentages of the State's population that falls into various age groups. (See Table 6.5 and Figure 6.4.)

Additional information may be obtained through HEW regional offices or by contacting the Division of Vocational and Technical Education, Bureau of Occupational and Adult Education, Washington, D.C. 20202.

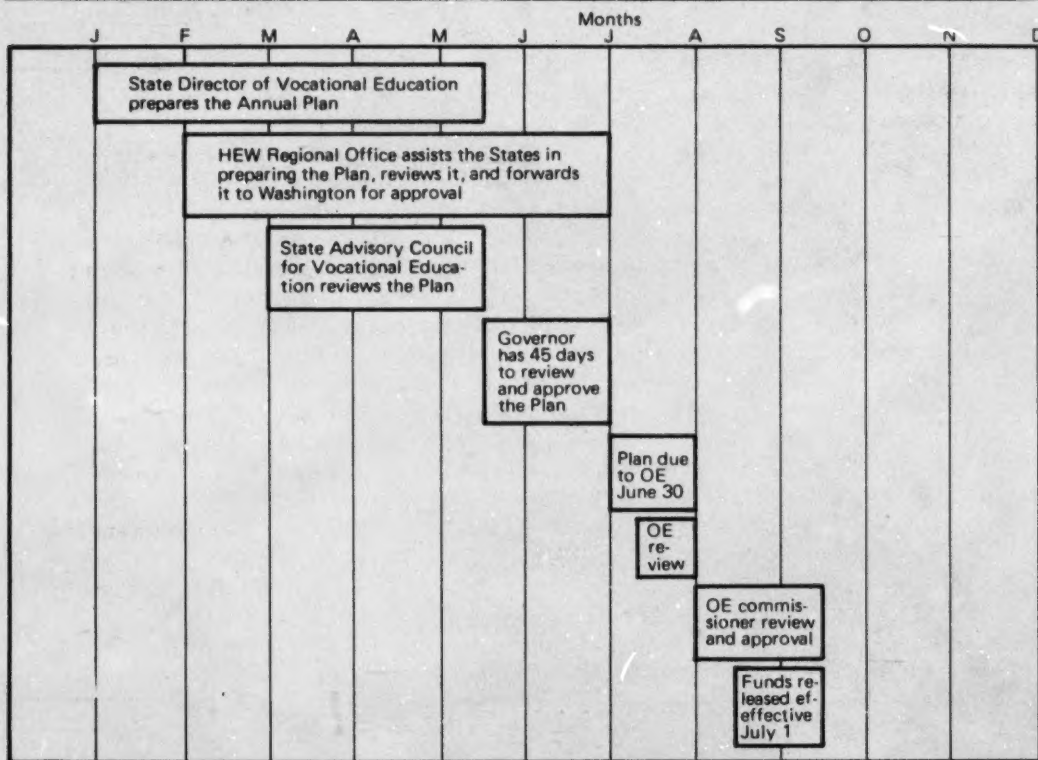
Table 6.5. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
ADMINISTRATIVE PLAN a. General	Vocational Education Amendments of 1968, PL 90-576	Structured narrative	• Name and authority of the State Board of Vocational Education • Description of public hearing and information • Duties and qualification of State and local personnel • Description of administrative responsibility, advisory committee, and State system • Assurance of commitment to State Plan • Description of administrative policies and procedures • Description of personnel development and preparation priorities • Description of procedures for obtaining and approving applications for projects • Description of all supplemental funds • Description of all coordination with other professional development programs • Description of all evaluation activities • State reports • Description of occupational education under contract
b. Fiscal Control		Structured narrative	• Description of a fiscal control procedure
c. State Occupational Education Programs		Structured narrative	• Definition, description, and requirements of disadvantaged, handicapped, and post-secondary persons • Procedures for allocating program funds to local educational agencies • Procedures for processing local applications for program funds
d. Specific Programs		Structured narrative	• Program or project requirements • Description of coordination with other programs • Application review process • Description of project administration • Reporting requirements • Training standards • Civil rights assurances and description of affirmative action program

Table 6.5. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
ANNUAL AND LONG-RANGE PLANS		Structured narrative	• Analysis of manpower needs and job opportunities • Analysis of availability of occupational education • Analysis of State's population relating to occupational education needs • Annual and long-range budget for specific programs • Projection of State's enrollment in future • Estimates of total funds for occupational education • Description of proposed construction projects • Description of future personnel requirements and supply • Anticipated expenditures for occupational education development • Description of financial plan for personnel development • Teacher education directory • State staff directory

Figure 6.4. PLANNING CYCLE



Bureau of School Systems: Division for the Disadvantaged

The following formula grant programs were authorized under Title I of the Elementary and Secondary Education Act of 1965. To receive funds for each Title I program, the State must submit an annual plan. All programs are funded on a fiscal year basis.

● Educationally Deprived Children - Local Educational Agencies (13.428). This program is administered through the Division of Education for the Disadvantaged, Bureau of School Systems, within OE. The program is the Title I Part A portion of the Elementary and Secondary Education Act (ESEA) and is designed to supplement services normally provided by State and local educational agencies. The ultimate objectives of the program are to expand and improve educational programs to meet the needs of educationally disadvantaged children in low-income areas, whether they are enrolled in public or private elementary and secondary schools. Formula grants are made to States. Local educational agencies submit proposals for funds from the State agencies. Funds are used on the local level to provide health, nutrition, and counseling services; cultural development instruction; and vocational training to children from low-income families. In FY 1975 an estimated \$1.6 billion was used for the program.

● Educationally Deprived Children - State Administration (13.430). This program is also administered through OE's Division of Education for the Disadvantaged and is authorized under Title I of ESEA. The purposes of the program are to assist State education agencies in improving and expanding their programs for disadvantaged children, and in improving the administrative capabilities of local education agencies. Formula grants go to the States; States use the funds to provide administrative assistance in developing, reviewing, and approving projects; disseminating their results; and evaluating and preparing reports. In FY 1975 an estimated \$20 million was obligated for the program.

● Educationally Deprived Children - Migrants (13.429). The goals of this program are to expand and improve educational projects to meet the special needs of children of migrant agricultural workers and fishermen and to coordinate similar migratory education programs in other States. Program funds are used for remedial instruction, health, nutrition, and psychological services; cultural development; and vocational training. The amount of the grants is calculated by formula and is provided on a fiscal year basis. In FY 1975 an estimated total of \$92 million was obligated for the program.

● Educationally Deprived Children - Neglected or Delinquent (13.431). This program also provides Title I funds to States through formula grants. The grants are made available to State agencies that operate school programs for delinquents and to local public and private nonprofit institutions for delinquents. The program purpose is to meet

the special educational needs of institutionalized children. The State education agencies are authorized to approve individual projects at the local level. Individual projects have typically stressed better teaching and curriculum for institutionalized youth. In FY 1975 an approximate total of \$27 million was obligated for the program.

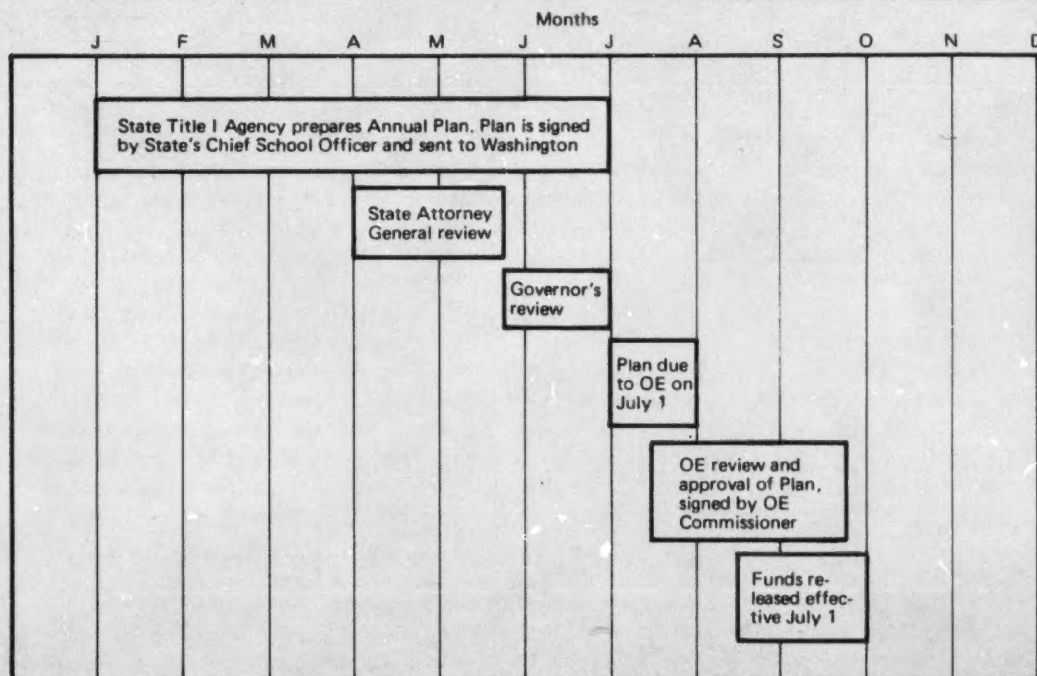
Overview of the State Planning Process. To be eligible for funds under Title I of the Elementary and Secondary Education Act, States must submit to OE a general application and an annual program plan. The State's Title I education agency is normally responsible for preparing the plan. The general application is submitted once and remains on file at OE for the duration of the legislation. Amendments to the application are accepted if the State wishes to add or delete any programs. For each program on the general application, the State must submit a program plan. After the plan has been prepared, it is reviewed and approved by the State's attorney general and Governor and submitted to Washington. All plans are due at OE on or before July 1. The plan is then reviewed and signed by the OE Commissioner of Education. Program assistance is provided on a fiscal year basis. Notice of plan approval is sent to the State's central information office. The State allocates funds to local agencies and school districts. (See Table 6.6 and Figure 6.5.)

The plan must include a list of basic assurances and a statement of purpose. For additional information on how to apply for funds under Title I, contact the Division for the Disadvantaged, Bureau of School Systems, Office of Education, 7th and D Streets, S.W., Washington, D.C. 20202.

Table 6.6. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
STATE PLAN	Elementary and Secondary Education Act of 1965, Title I, as amended		
a. Assurances		Standard Form	• Assurance that funds will be used for programs which have been approved by the State Education Agency • Assurance that the state will comply with the provisions of Title I of the Act • Assurance that the state will submit to OE periodic reports of program progress • Assurance that the state will submit reports of program evaluations • Assurance that the state will keep all records used to prepare reports • All assurances from the General Application
b. Statement of Purpose		Narrative	• Description of the children residing in state agency institutions, and assurances that funds will be allocated for them • Description of children in local institutions, not under a state agency
c. Budget		Narrative	• Budget • Description of facilities which will be built or bought with program funds • Signature of the Chief State School Officer

Figure 6.5. PLANNING CYCLE



Bureau of School Systems: Office of Libraries and Learning Resources

This office within the Bureau of School Systems administers one program requiring comprehensive planning:

- Library Services - Grants for Public Libraries (13.464). The Grants for Public Libraries Program is administered through the Bureau of School Systems within OE. The program objective is to establish or expand library services for the physically handicapped, the urban and rural disadvantaged, persons with limited English-speaking ability, and institutionalized persons. Formula grants are made to States for the development of public library services in areas that have none and for the improvement of such services where they are inadequate.

Overview of the State Planning Process. To qualify for a grant under the Public Libraries Program, States must submit for approval by the U.S. Commission of Education a basic State plan (State-Federal agreement), as defined in Section 3(11) of the Library Services and Construction Act (PL84-597). The plan must include assurances of the State's capability for administering the program; specific policies, criteria, and priorities for implementing programs; a maintenance-of-effort certificate; and a membership listing of the State Advisory Council on Libraries.

As of July 1, 1972, 5-year long-range plans were submitted. To update these, the State must on an annual basis: (1) review and amend the approved basic State plan where necessary; (2) review and revise its long-range program; and (3) submit an annual program of projects. All programs must be developed with the advice of the State advisory council and in consultation with the appropriate regional representative. Gubernatorial review of the plan also is required. The regional commissioner is responsible for providing notification of the grant's approval to the State.

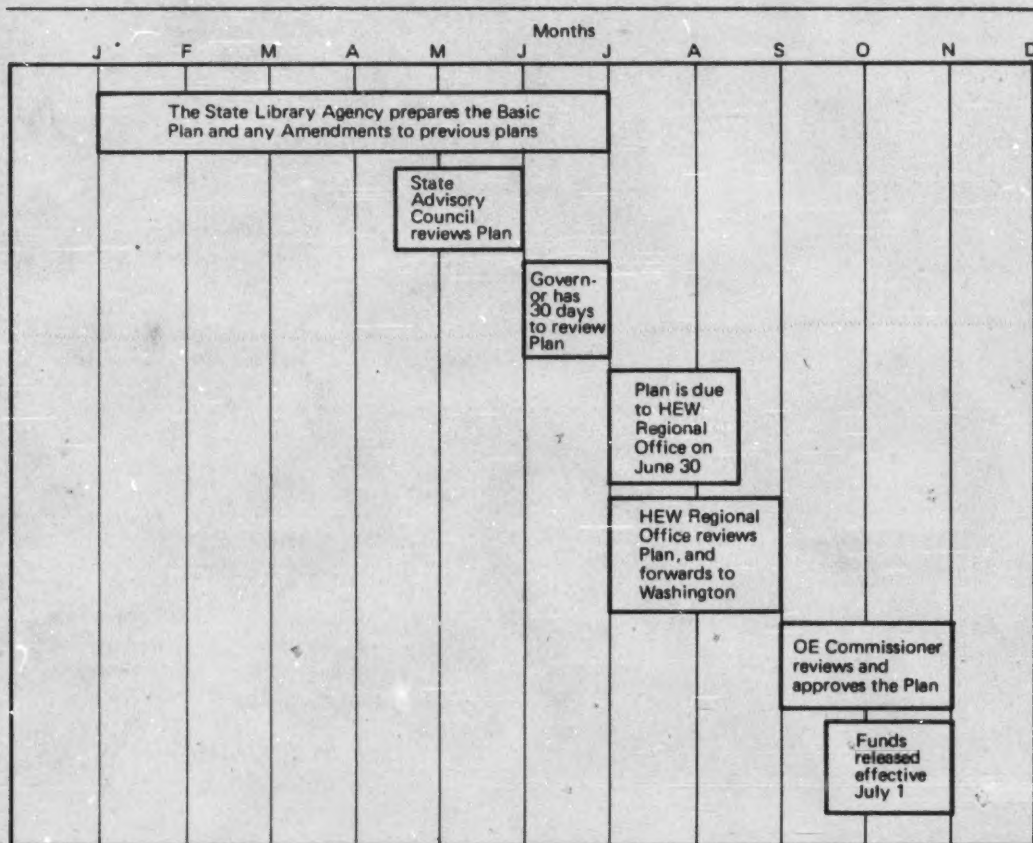
The Federal grant share ranges from 34 percent to 66 percent, with States matching in proportion to their per capita income. All funds are made available and must be spent within the fiscal year. A report of all expenditures for the fiscal year must be submitted to the region. In FY 1975 an estimated total of \$49 million was made available for grants to State agencies. (See Table 6.7 and Figure 6.6.)

All required documents are available through the State and Public Libraries Services Branch, Office of Libraries and Learning Resources, Bureau of School Systems, Office of Education, Washington, D.C. 20202; the appropriate OE regional commissioner; or the State's library extension agency.

Table 6.7. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
BASIC PLAN INFORMATION	Library Services and Construction Act, PL 84-599, as amended	Cover sheet Basic State Plan Amendments Accompanies Basic State Plan Amendment in unspecified format Maintenance of Effort Certificate	• Name of State • Authorized official • Name of State Library Administrative Agency • Date • State Federal Agreement • Membership of State Advisory Council • Criteria for determining adequacy of library services • Criteria for assuring program priority to areas with low-income families • Criteria for assuring priority to areas with persons with limited English-speaking ability • Authorized official • Assurances of adequacy of State funds • Assurance of amount of expenditures
LONG-RANGE PLAN		Unspecified format	• Description of State's library needs • Plan of action for meeting those identified needs • Review of State policies for project evaluation • Review of State policies for dissemination of evaluation results to the programs • Review of State policies for coordinating programs supported under the Act • Criteria for allocating funds • Criteria for approving applications for library construction • Criteria for approving applications for interlibrary cooperation
ANNUAL PLAN		OE form 3114-4 with attachments	• Description of each project with objectives and contributions toward long-range objectives • Goals of projects • Description of who is to be served and how • Names and locations of key libraries/agencies involved • Description of when and where project will be implemented • Estimated cost of and source of funding • Method of administering project • Administrative costs

Figure 6.6. PLANNING CYCLE



Bureau of School Systems:

Division of Supplementary Centers and Services

This division administers one program requiring comprehensive planning:

• Supplementary Education Centers and Services, Guidance, Counseling, and Testing (13.519). The Supplemental Education Centers and Services program is administered within OE's Bureau of School Systems. The program is authorized under Title III of the Elementary and Secondary Education Act of 1965 (ESEA). The program objectives are to provide vitally needed educational services and to support innovative and exemplary local models for meeting each State's critical educational needs. Funds also are provided to support State and local programs for guidance, counseling, and testing. Program funds eventually are allocated to public schools, although nonpublic schools also benefit from these services. As of July 1976, the program is authorized under Title IV. The program's formula grants are made available each fiscal year. In FY 1975, a total of approximately \$103 million was granted to States.

Overview of the State Planning Process. To be eligible for program funds, States must submit plans annually to the U.S. Commissioner of Education. Normally the OE Title IV coordinator, in conjunction with the State advisory council, is responsible for the preparation of the plan. Certifications from the State education agency, the State attorney general, and the Governor insure that the plan will constitute the basis for program operation within the State. Gubernatorial review of the plan is required under OMB Circular A-95. The plan must include details of program administration, program coordination, project proposal review criteria, program operations and evaluation, and financial management. Copies of the plan go from the State to OE for review. State plans must be submitted before or during the fiscal year for which funds are to be allotted.

Following review and approval of the State plan by the U.S. Commissioner of Education, funds are released for the current fiscal year. The State's Department of Education is notified concerning approval of the Federal award. State agencies then award grants to local education agencies whose proposals have been approved in accordance with the State plan. (See Table 6.8 and Figure 6.7.)

Instructions for preparing State plans are available through the Division of Supplementary Centers and Services, Bureau of School Systems, Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, or through the State's education agency.

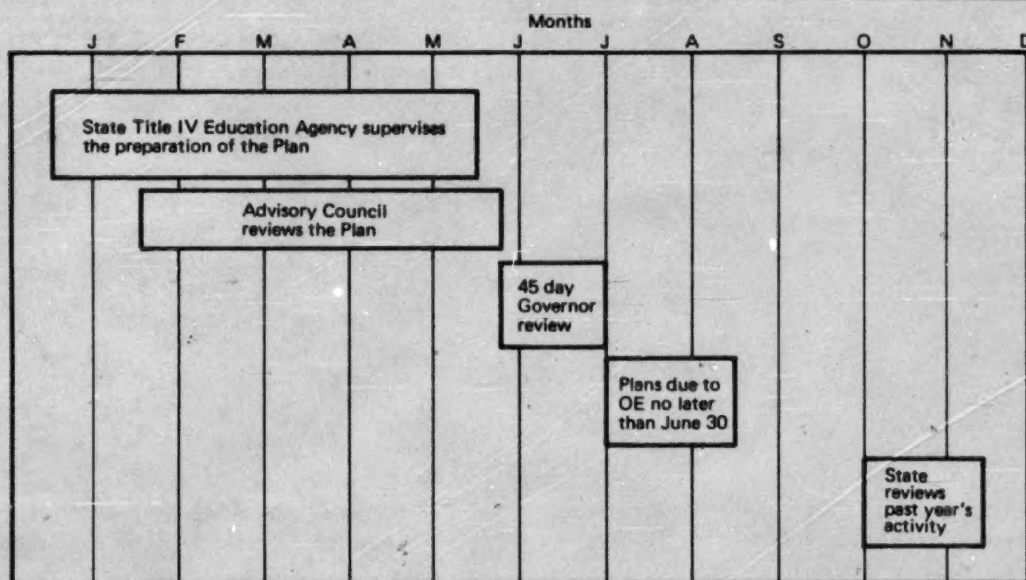
Table 6.8. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
BASIC PLAN INFORMATION	Elementary and Secondary Education Act of 1965, PL 89-10 as amended by PL 93-380	Structured narrative with appropriately numbered sections	• Title and function of State plan administrators • Description of the State Advisory Council composition • Description of functions of the S.A.C. in planning, reviewing, preparing and evaluating the program • Description of S.A.C.'s method of providing services • Description of the State Educational Agency's organization • Description of the qualifications of the State Education Agency's staff • Designation of a "panel of experts" • Description of the State's leadership and professional staff development activities
a. Needs Assessment		Narrative	• Description of assessments of education needs in the State • State criteria for approving projects under the program • Assurance that L.E.A.'s are making a reasonable tax effort
b. Application Procedures		Narrative	• Procedure for submitting applications under Title IV • Provisions for assuring that Title IV funds will supplement and not supplant State and local funds
c. Maintenance of Effort		Narrative	• Evidence of maintenance of fiscal effort at the State level • Provisions for assuring that at least 15% of the funds will be used for projects designed to meet the needs of handicapped children • Criteria for equitable distribution of federal assistance • Description of procedures used to assist the L.E.A.'s in the development of Title IV proposals • Dates for submitting Title IV applications • Descriptions of the roles that the S.E.A.'s, the State Advisory Council, and the panel of experts will assume in approving project applications • Provisions for educational accountability • Description of Title IV's impact on the State as a whole

Table 6.8. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
d. Evaluation and Monitoring		Narrative	• Description of on-site monitoring of projects • Criteria for local project evaluation • Provisions for auditing local projects • Validation procedures • Provisions for diffusion • Provisions for disseminating the results of outstanding Title IV projects • Procedures for encouraging and describing projects of high quality • Provisions for private non-profit school participation • Specification of maximum length of projects • Provisions for continuing projects • Provisions for terminating Title IV projects • List of funded projects • Procedures for amending approved projects • Provisions for constructing necessary facilities
e. Public Hearings		Narrative	• Provisions for public hearings • Provisions for co-mingling Federal funds with State funds • Description of State level program of supervision and leadership • Approaches for reviewing local guidance and counseling programs • Description of and objectives of the State plan testing program
f. Expenditures		Narrative	• Description of expenditures by S.E.A. for State administration • Procedures for adjusting grants and obligating funds to the L.E.A.'s • Expenditures by the L.E.A.'s • Funding policies and procedures • Procedures for processing grants • Descriptions of auditing of S.E.A. and L.E.A. fiscal records • Description of auditing standards • Plan for prorating salaries and other expenses • Appropriate signatures

Figure 6.7. PLANNING CYCLE



DEPARTMENT
OF
HOUSING
AND
URBAN
DEVELOPMENT

The Department of Housing and Urban Development (HUD) funds one program requiring comprehensive planning. This program is administered by Community Planning and Development.

• Community Development Block Grants/Entitlement Grants (14.218).

Title I of the Housing and Community Development Act of 1974 authorized the Secretary of HUD to make grants to units of general local government and States for the funding of local community development programs. The primary program objective is the development of viable urban communities in which decent housing, a suitable living environment, and expanding economic opportunities are provided. The program is based on the principle that local elected officials can more effectively establish community development priorities than can the Federal Government. Communities have the principal responsibility to initiate, maintain, discontinue, or expand any community development activity. In addition, instead of competing for categorical project dollars each year, the communities will have a basic entitlement of funds, so that they will know in advance the amount of Federal funds they will receive. The program is structured to provide annual funding and to encourage community development and planning. The Secretary is authorized to make grants to States, metropolitan cities, urban counties, and local governments on the basis of a formula that takes into account population and poverty levels and overcrowded housing conditions. In FY 1975 an estimated total of \$2.5 billion was appropriated under the program.

Overview of the State Planning Process. Metropolitan cities and urban counties are the chief beneficiaries of program funds. The Secretary of HUD determines the eligibility of urban units for program funds based on applications from county and metropolitan areas. Eligibility is determined from U.S. Bureau of the Census data with respect to population and other demographic characteristics. Applications for program funds generally are due to area offices of HUD around May 30 of each year. Program funding is on a fiscal year basis.

Applications are prepared by the local governments that will receive funding. After submitting the applications, local or State governments must make a reasonable effort to make the applications available for citizen review. Gubernatorial review of the application

is required under OMB Circular A-95. In general, applications for grants under the program must include a community development plan summary, a community development program part, a housing assistance plan, a community development budget, and basic assurances. Applications are submitted to the area offices of HUD and reviewed according to the applicant's certifications and statements of facts and data. Within 75 days of the date of receipt, the Secretary will notify the applicants in writing whether the application has been approved, partially approved, or disapproved. Program activities can be linked with HEW social services funds for comprehensive development programs and with the Comprehensive Employment and Training Program (CETA), Title XX, and LEAA funds to weave together any and all planning, research, and citizen participation functions. (See Table 6.9 and Figure 6.8.)

For additional information on how to apply for the Community Development Grants, contact the appropriate area office or Community Planning and Development, 451 7th Street, S.W., Washington, D.C. 20410.

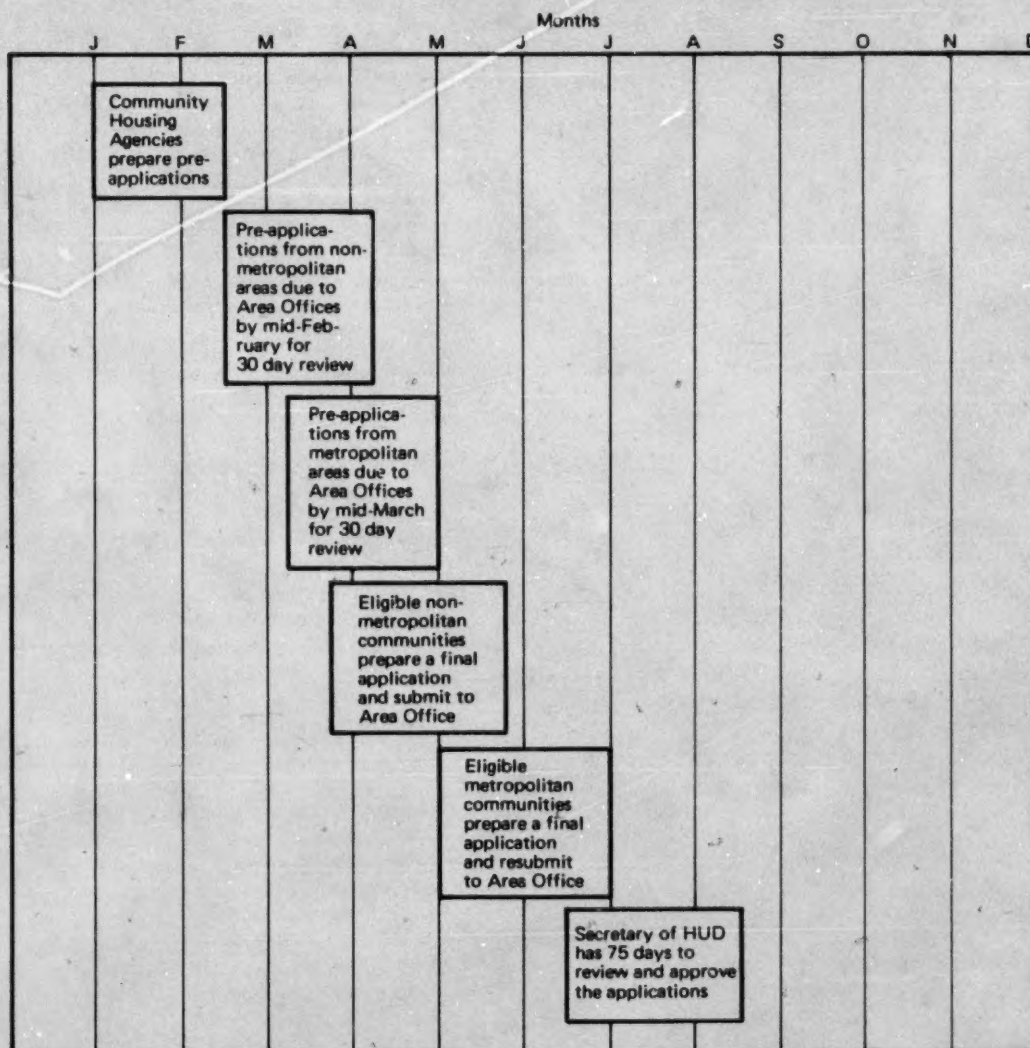
Table 6.9. PLANNING REQUIREMENTS

Components	Authorization	Authorized Form	Required Content
COMMUNITY DEVELOPMENT PLAN (Three-year Plan)	Housing and Community Development Act of 1974, PL 93-383	HUD Form 7015	• Description of community development needs • Description of a comprehensive strategy for meeting community development needs • Specification of short- and long-term community development objectives • Description of the community development program to eliminate or prevent slums, blight, and deterioration • Description of efforts to improve community development facilities • Identification of special needs of low-income persons in the community
COMMUNITY DEVELOPMENT PLAN (One-year Plan)		Standard form	• Summary of the development program with estimated costs and general location of activities • Description of resources which are available to the community other than those provided by program funds • Description of environmental factors • Map, showing geographic jurisdiction of the applicant, and location of program activities

Table 6.9. PLANNING REQUIREMENTS (Continued)

HOUSING ASSISTANCE PLAN		Standard form	•Survey of the condition of the housing stock in the community, by number of units in standard or substandard condition •Estimates of the housing needs of lower-income persons, especially large families, the handicapped, and aged •Specification of a reasonable annual goal for the number of dwelling units or persons to be assisted •Indication of the general location of proposed new housing construction projects and rehabilitation projects for lower income persons
COMMUNITY DEVELOPMENT BUDGET		Standard form	•Community Development project budget
CERTIFICATIONS		Standard form	•Assurances of Civil Rights compliance •Assurances that citizens have been provided information concerning the amount of funds available for community development and housing activities •Assurances that at least two public hearings have been held on community development •Assurance of public participation in community development applications •Assurances of compliance with all federal relocation regulations
Components	Authorization	Appropriate Forms	Required Content
			•Assurances of compliance with all federal relocation regulations •Assurances of A-95 review •Assurance that the Community Development Program has been designed to give priority to low-income areas and persons •Assurances that the applicant will meet all reporting requirements •Assurances that all related plans and activities of the local governments and state have been coordinated

Figure 6.8. PLANNING CYCLE



DEPARTMENT
OF
LABOR

The Department of Labor (DOL) funds one grant program requiring comprehensive planning. This program is administered by the Employment and Training Administration.

• Comprehensive Employment and Training (CETA) Program (17.232). The CETA Program was authorized under the Comprehensive Employment and Training Act of 1973, as amended, which provides for job training and employment opportunities for economically disadvantaged, unemployed, and underemployed persons. CETA is a formula grant program under Titles I, II, III, and VI of the Act. Titles I and II of the Act establish programs for comprehensive employment and training services. Funds under Title I are used for classroom training, on-the-job training, public service employment, and work experience, while Title II funds are used to employ persons in areas of high unemployment. Title III funds are used for any of the activities authorized under Title I, but may also be used to provide services only to economically disadvantaged youth, ages 14 to 21 inclusive, during summer months. Title VI is a temporary program of public service employment for unemployed and underemployed persons. Funds under the program are allocated each fiscal year based on U.S. Bureau of the Census statistics. In FY 1975 a total of approximately \$3.7 billion was granted to the prime sponsors under Titles I, II, III, and VI of the Act.

Overview of the State Planning Process. States, local governments having a population of 100,000 or more, or consortia of local governments (all three are labeled "prime sponsors") are eligible for employment and training program funds. The ultimate program beneficiaries are the economically underprivileged, the underemployed, and the unemployed. To be eligible for program funds, prime sponsors must prepare a comprehensive manpower plan in cooperation with a designated advisory council. Applicants are named as prime sponsors after having applied to the Assistant Regional Director for Manpower (ARDM) and the Governor. Prime sponsors are then eligible to submit a comprehensive manpower plan. Titles I and II each have their own special planning provisions. There are no specific planning requirements under Title VI.

Each prime sponsor appoints a Manpower Planning Council which advises the sponsor in the setting of basic goals, policies, and procedures. In addition to the planning council, a State Manpower Services

Council is appointed to advise on all manpower-related issues. The comprehensive manpower plan, which is developed by the planning council, states in general terms how the prime sponsor intends to use its funds and to coordinate its activities with other manpower programs and services operating within its jurisdiction. The Title I comprehensive manpower plan consists of a narrative description of the Title I program, a program planning summary, and a budget information summary. The comprehensive Title II plan consists of a narrative description of the Title II program, a program planning summary and supplement, a budget information summary, the public employment occupational summary, and the program summary. All plans are developed by defining program purposes, projecting population profiles, defining needs, establishing priorities, assessing current program impact, establishing goals, setting initial objectives, designing program strategies, identifying area resources, developing an initial organization and staff, estimating costs, determining program operations, and preparing CETA applications.

The plan is reviewed by the planning councils, the Governor, and the general public and must pass through an A-95 clearinghouse. An announcement of plan approval is made by the Assistant Regional Director for Manpower. Upon approval of the plan by the regional offices, letters of credit are sent to States for program implementation and maintenance. (See Table 6.10 and Figure 6.9.)

For additional information, contact either the appropriate regional office, or the Employment and Training Administration, U.S. Department of Labor, 601 D Street, N.W., Washington, D.C. 20213.

Table 6.10. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
TITLE I a. Narrative Description of Title I Program	Comprehensive Employment and Training Act (CETA) of 1973, as amended. PL 93-203	Narrative	• Policy statement on purpose of program • Description of economic conditions within the jurisdiction of the prime sponsor • Description of labor force characteristics • Explanation of skill shortage occupations • Definition of manpower needs • Statement of groups to be served • Statement of goals to be accomplished • Statement relating planned outputs to needs • Rationale for selection of program activities • Statement of how the program will provide participants with economic self-sufficiency • Explanation of how the program will enhance career development • Description of planning system and participation of the community • Statement of strategy for accomplishing goals • Description of each program activity and the enrollee flow • Description of methods to recruit, select, and determine the eligibility of participants • Description of how persons of limited English-speaking ability will be served • Description of the prime sponsor's administrative system • Description of allowance payment system • Description of coordination with manpower services not supported by the Act • Justification of administrative costs when such costs exceed 20% • Description of geographic locations served • Description of arrangements to serve all geographic areas under the jurisdiction the prime sponsor • Description of the functions of the state Manpower services to be undertaken • Description of unmet public service needs and priorities • Relationship of types of jobs to public service needs • Justification of funding and job allocation to government agencies • Description of strategy to serve veterans with special skills, and disabled and unemployed veterans • Description of methods of determining rates of compensation • Description of actions to insure collective bargaining agreements

continued

Table 6.10. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
			• Plans to improve and expand employment and advancement opportunities • Description of training, education, and other services to participants • Explanation of linkages to other programs • Maintenance of effort verification
b. Program Planning Summary/ Budget Information Summary		Program Planning Summary	• Quantitative statement of planned expenditures, enrollment levels, and outcomes for participants • Indication of expenditures by cost category • Identification of the number of individuals to be served
c. Assurances and Certifications		Signature sheet	• Assurances that the prime sponsor will comply with the Act, the regulations of the Department, and all Federal Management circulars.
TITLE II a. Narrative Description of Title II Program		Narrative	• Same requirements as for Title I
b. Program Planning Summary/ Budget Information Summary			• Same requirements as for Title I
c. Supplement to PPS		CETA monthly schedule	• Description of activities and expenditures by month
d. Occupational Summary			• Same requirements as for Title I
e. Program Summary		Program Summary	• Description of jobs, training slots, and funds to be provided to eligible applicants • Designation of areas to be served, the population, and employing agencies of each area
f. Assurances and Certifications		Signature sheet	• Same requirements as for Title I
TITLE III a. Narrative Description of Title III Program		Narrative	• Policy statement on purpose and goals • Description of the number and characteristics of participants • Description of the methods to recruit and select • Description of the management and administrative plan • Discussion of the cost plan
b. Public Service Employment Occupational Summary		PSE Occupational Summary 118	

Month	Event
April	Prime Sponsors begin preliminary planning
June	Regional Offices mail applications to prime sponsors on June 1
July	Prime Sponsors prepare applications and send to Governor
August	Public review and Governor review
September	Applications submitted to Regional Offices for review and approval
October	DOL reviews and comments on applications
October	Funds released effective October 1

NATIONAL
INSTITUTE
ON
DRUG
ABUSE *

The National Institute on Drug Abuse (NIDA) funds one grant program that requires comprehensive planning as a funding prerequisite. This program is administered by the Alcohol, Drug Abuse, and Mental Health Administration.

• Drug Abuse Prevention Formula Grants (13.269). Title IV, Section 409, of the Drug Abuse Office and Treatment Act of 1972 authorized the Department of Health, Education, and Welfare to provide formula grants to States to reduce drug abuse. The purposes of the programs funded by these grants are to assist States in the preparation of plans for designing, establishing, conducting, and coordinating drug abuse prevention efforts; to assist in carrying out projects under the program; and to aid in evaluating the plans and paying administrative expenses involved in the planning process. Applicants for program funds are authorized State agencies. Local community citizens in need of prevention, treatment, and rehabilitation programs are the targets for program funds. Fifty-six formula grants were made to States and territories in each of the past 3 fiscal years. In FY 1975 a total of \$35 million was obligated for the program.

Overview of the State Planning Process. To be eligible for formula grants under the Drug Abuse Prevention Program, States must submit an annual plan. Funds may be used to support costs directly related to administering the State plan as well as implementing the plan programs. Plans are developed and submitted by a designated State drug abuse prevention agency in coordination with the State drug abuse advisory council. After the plan is developed, it is submitted to the Governor for review, as required by OMB Circular A-95. Any gubernatorial comments are forwarded with the plan to the National Institute on Drug Abuse (NIDA). All State plans are due to NIDA by July 30. States

* NIDA is part of the Department of Health, Education, and Welfare. It is included as a separate section here because it has assumed the responsibilities of the Special Action Office on Drug Abuse Prevention which, before being disbanded, was a member agency on the Coordinating Council.

are notified of grant award through their central information reception agency. The amount of the grant is determined by formula. (See Table 6.11 and Figure 6.10.)

In general, the plan must include an annual performance report and a description of the State's plan of action for the coming year. For additional information on the preparation of the plans contact the National Institute on Drug Abuse, ADAMHA, PHS, Rockwall Building, 11400 Rockville Pike, Rockville, Maryland 20852.

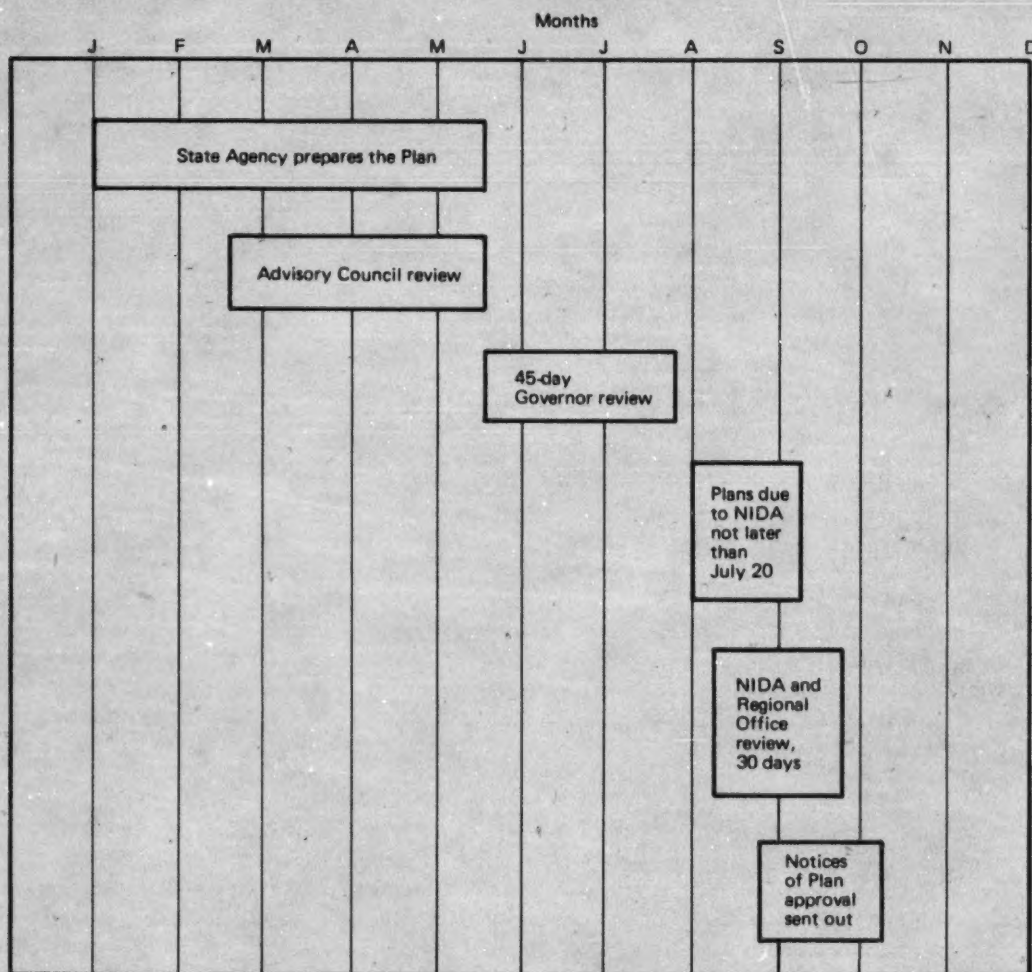
Table 6.11. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
ANNUAL PERFORMANCE REPORT	Drug Abuse Office and Treatment Act of 1972, PL 92-255, Section 409		
a. General Summary		Narrative	• Description of the nature and extent of the drug problem in the state • Description of any changes in the state's drug problem since the previous year
b. Assessment Conclusions		Narrative	• List of goals which the state had intended to achieve • Description of the extent to which the state met its goals • Implications for future planning
c. Expenditures		Expenditure Report Summary form	• Specification of actual expenditures for administration, planning, and coordination, treatment and rehabilitation, information systems, research and evaluation, education, prevention and intervention, training, and criminal justice interface
d. Assessment of Program Effectiveness		Narrative	• Description of the state's drug abuse prevention projects • Description of the rationale for the projects • Description of the effectiveness of the projects • Descriptions of problems solved and insights gained from the projects • Description of the cost-effectiveness of the state's projects in the areas of administration, planning and coordination, treatment and rehabilitation, information systems, research and evaluation, education, prevention and intervention, training, and criminal justice

Table 6.11. PLANNING REQUIREMENTS (Continued)

Components	Authorization	Appropriate Form	Required Content
e. Special Programs		Narrative	• Description of any organizational changes in the state agency • Description of the state's procedure for funding state and local projects • Description of the state's effort to address the needs of minorities, women, youth, and the aged • Description of any sub-state planning system • Description of the procedures used to prepare the plan for the coming year • Summarization of all coordinating activities with other planning agencies
f. Advisory Council Reports		Narrative	• Description of any recommendations of the state Drug Abuse Advisory Council
ACTION STRATEGY			
a. State Policy on Drug Abuse Prevention		Narrative	• Description of the state's philosophy on drug abuse prevention • Description of the state's role in preventing drug abuse
b. Problem Identification		Narrative	• Data on the incidence and prevalence of drug abuse in the state • Description of drug abuse indicators
c. Needs, Objectives, and Priorities		Narrative	• Definition of needs, objectives, and priorities in the areas of administration, planning and coordination, treatment and rehabilitation, information systems, research and evaluation, education, prevention and intervention, training, and criminal justice • Description of long- and short-range goals
d. Expenditure Projection		Expenditure Projection Summary form	• Description of known appropriations • Identification of needed resources
e. Action Plan		Narrative	• Description of the state's action strategy for administration, planning and coordination, treatment and rehabilitation, information systems, research and evaluation, education, prevention and intervention, training, and criminal justice

Figure 6.10. PLANNING CYCLE



DEPARTMENT
OF
AGRICULTURE

The Department of Agriculture funds six programs that require comprehensive planning. These programs are administered by the Food and Nutrition Service (FNS) through two divisions.

Food and Nutrition Service: Food Stamps Division

This division administers one program:

• Food Stamps (10.551). The Food Stamps Program, which was established in 1961, subsidizes a portion of the cost of food purchases for families or persons with low incomes by providing them with coupons that may be used as cash in designated stores. The program's intent is to make up the difference between what a household should spend on food (based on the Agriculture Research Service's Economy Food Plan) and what that household is able to spend, considering its other expenses and financial resources. State social service agencies assume responsibility for certifying eligible households and for issuing stamps through suitable outlets.

Overview of the State Planning Process. The State agency that administers the program is eligible for the formula grants. All local governments, schools, or institutions within the State that plan to administer the program must apply through the State agency. Under OMB Circular A-95, the Governor or a designated agency is required to review the State plan. The eligible State agency is responsible for submitting requests to the Food and Nutrition Service (FNS), USDA, on behalf of local political subdivisions. More specifically, PL93-86 mandated nationwide expansion of the program and required each State agency to submit for FNS approval an operation plan specifying the manner in which the Food Stamp Program would be conducted in every political subdivision within the State. The plan must include relevant State policies, procedures, and methods; description of program administration; description of the types of systems used to issue the coupons; statements of nondiscrimination, quality control, and claims; and a description of special program provisions. Notification of award is made by USDA to the State central information reception agency. Funds are made available early in the fiscal year; any unspent funds must be returned at the end of the fiscal year.

A monthly report, which gives a summary of coupons issued, cash collected, and coupons on hand; is required. In FY 1975 an estimated \$4.9 billion was made available to States through this program. (See Table 6.12.)

All required documents and instructions are available through the U.S. Department of Agriculture, Food Stamps Division, Food and Nutrition Service, Washington, D.C. 20250; the Food and Nutrition Service regional offices; or the authorized State agency.

Table 6.12. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
BASIC PLAN	PL 88-525, as revised. PL 93-86	Plan of Operations Form	• Name of State • Mailing address • Authority of State Agency • Agreement to administer the program according to law • Agreement to submit all written internal policies for administering the program • Agreement to certify households according to law • Agreement to notify FNS if participation is terminated • Description of the organizational unit which will administer the program • Description of any formal delegation of State authority • Description of types of coupon issuance systems • Assurances of nondiscrimination • Description of State's method of computing and claiming appropriate costs • Description of State's outreach plan • Description of State's quality control plan, including sampling plan, use of staff, and analysis and use of findings • Description of any special provisions or circumstances within the State which deviate from the federal • Implementation dates • Signature of head of agency
		Exhibit A	• Name and title of head of agency • Name and title of person responsible for Food Stamp operations • Location of central storage points for coupons • Names of persons authorized to receive coupon shipments • Description of State delegation of authority • Name and title of person with responsibility for State's Outreach plan
		Exhibit B	• Description of changes in the language of the State Plan
		Exhibit C	• Description of Outreach program's goals, personnel, and estimated costs

Food and Nutrition Service: Child Nutrition Division

The following programs within the Food and Nutrition Service Division of USDA have the same basic planning requirements. Any State that applies for Federal formula grants can use a single plan to meet the planning requirements for all programs.

- Nonfood Service Assistance for School Food Program (10.554).

Authorized by the Child Nutrition Act of 1966, this formula grant program provides cash assistance to schools in low-income areas for acquiring food service equipment and establishing, maintaining, or expanding food service programs. The general program goal is to aid States in supplying needy schools with equipment for storing, preparing, transporting, and serving food to children. State and local sources must bear 25 percent of equipment costs. At least 50 percent of all nonfood assistance funds must be used in needy schools that do not have food service. Assistance to States is available on a fiscal year basis. In FY 1975 an estimated total of \$28 million was made available to States under the program.

- National School Lunch Program (10.555). The National School Lunch Act of 1946 authorized USDA to make funds available to schools for a portion of the food costs of student lunches. Additional assistance is available for the free and reduced-price lunches served to needy children. All program funds are distributed to States on a performance funding basis, with States guaranteed certain average rates of Federal payments for all lunches served. Both public and nonprofit private schools, at elementary and secondary levels, are eligible. The general goal of the program is to promote the health and well-being of disadvantaged school children by making cash grants and food donations to schools for lunch programs. Funds are available through the program on a fiscal year basis. In FY 1975 an estimated total of \$1.2 billion was used for the program.

- School Breakfast Program (10.553). Established in 1966, this formula grant program reimburses participating elementary and secondary schools for free or reduced-price breakfasts provided to eligible children. As in the School Lunch Program, funds are distributed among States on a performance basis, with States guaranteed certain average rates of Federal payments for all breakfasts served. The program objective is to promote the health and well-being of disadvantaged school children by making cash grants and food donations to schools for breakfast programs. Program funds are available each fiscal year. In FY 1975 approximately \$73 million was obligated.

- Special Food Service Program for Children (10.552). The Special Food Service Program for Children was established in 1968 by the National School Lunch Act. It provides meal service aid to nonresidential child care institutions serving areas with low-income or with a large number of working mothers. Institutions served include those that offer both year-round day care for preschoolers and summer programs for school-age children in parks, playgrounds, and recreation centers. Up to three

complete meals and two supplemental meals are provided on a daily basis. Children whose parents or guardians are unable to pay the full charge are given free or reduced-price meals. Funds are made available by the Federal Government on a fiscal year basis. In FY 1975 a total of approximately \$116.7 million was obligated under the program.

• Special Milk Program for Children (10.556). Since 1954, the Special Milk Program has reimbursed participating schools and child care institutions for free and reduced-price milk given to children. To obtain funds under the program, the schools and institutions must agree to offer milk at reduced prices and to give needy children free milk at least once every school day. This milk is given in addition to that served as part of other child nutrition programs. The basic objectives of the program are to encourage the consumption of milk by elementary and secondary school children and to improve the nutrition of school children. The Special Milk Program is usually administered by the State educational agency. However, in some States, FNS directly administers the program. Funds are made available by the Federal Government on a fiscal year basis. In FY 1975 a total of approximately \$119 million was obligated under the program.

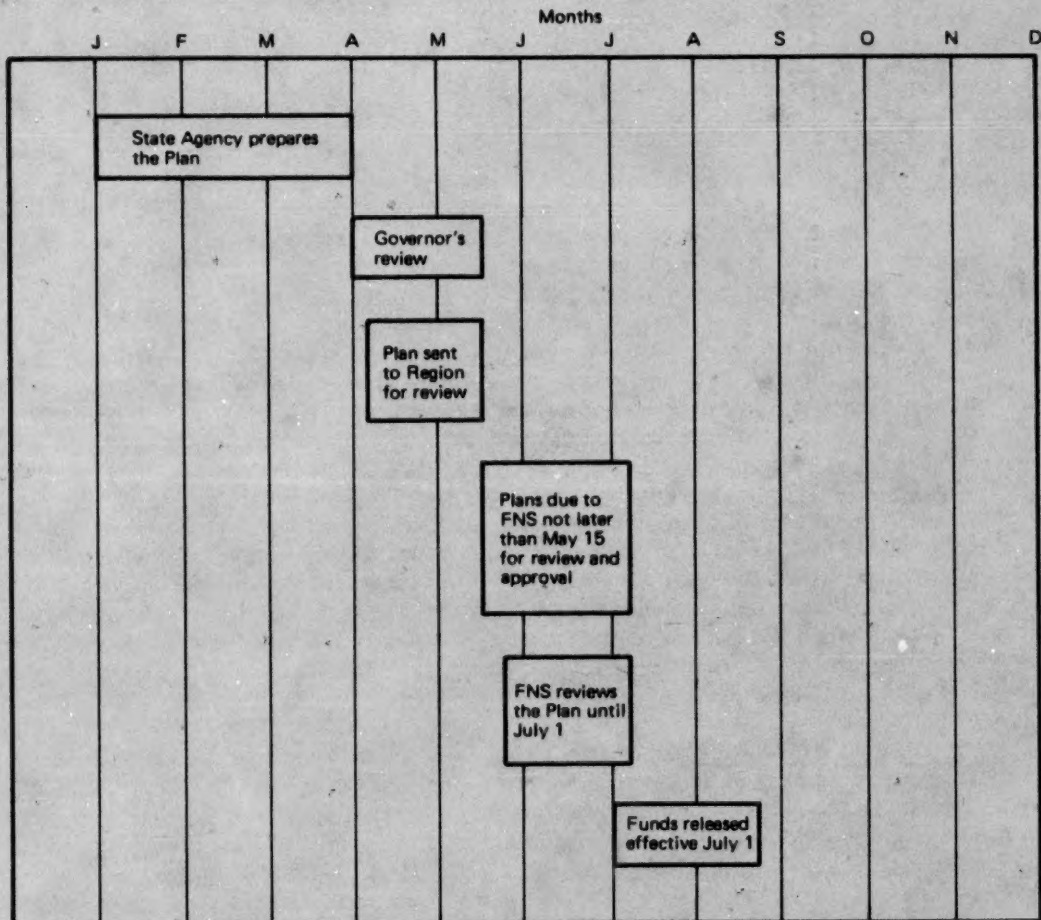
Overview of the State Planning Process. To be eligible for funds under these five FNS programs, each State must submit annually to FNS a plan detailing what kind of program will be administered and how funds will be spent. At the minimum, each plan should include how the State proposes to: (a) use the funds provided; (b) extend the program to all schools in its jurisdiction; and (c) make the program available to needy children. Proposals for each program may be included in a single plan. Each plan is developed by the State agency in conjunction with the State advisory council and submitted with signatures of the State director and the chief State school officer. The plan also must be forwarded to the Governor for a 45-day review period. FNS then determines the amount of funds needed by States based on the State's annual plan. Approval of the plan by FNS is the prerequisite for financial assistance to States. Funds are made available by means of letters of credit from FNS to the State. (See Table 6.13 and Figure 6.11.)

Information about each program and the coordination among them can be obtained through the Director, Child Nutrition Division, Food and Nutrition Service, U.S. Department of Agriculture, Washington, D.C. 20250; or through the State or local offices of the Department of Agriculture.

Table 6.13. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
FINANCIAL MANAGEMENT PLAN	Child Nutrition Act of 1966	Unspecified	• Description of how State plans to use Federal funds provided under the program • State program objectives, and work plan to achieve those objectives • Description of how, when, and what resources will be used to accomplish the objectives • Indication of the number of schools and institutions that do have food facilities • Describe progress (statistically) in establishing programs • Estimate of funds available for program use other than Federal • Description of plan to use State and Federal monies conjunctively
SAE FUNDS PLAN		Unspecified	• Description of how administrative expenditures help meet State plan objectives
AUDITING PLAN		Unspecified	• Outline of steps taken to audit the program • Description of auditor and auditing cycle • Assurance of independence of auditor and auditee
SUPERVISORY ASSISTANCE PLAN		Unspecified	• Description of how the program's performance and progress will be monitored • Objectives of the program • Description of the reasons for establishing the objectives • Description of methods used to accomplish the objectives • Description of how objectives are evaluated • Description of the method to determine if the objectives are being met • Description of all documentation systems and files kept
CIVIL RIGHTS PLAN		Unspecified	• Specification of civil rights objectives • Specification of review process • Assurance of equitable application and admissions policies • Assurance that all FNS programs will meet civil rights requirements • Assurance that all documentation of compliance reviews will be kept
NUTRITION EDUCATION PLAN		Unspecified	• Determination of current nutrition education training needs • Examination of current training needs programs • Description of training methodology

Figure 6.11. PLANNING CYCLE



DEPARTMENT
OF
TRANSPORTATION

The Department of Transportation funds one program that requires comprehensive planning. This program is administered by the National Highway Traffic Safety Administration.

• State and Community Highway Safety Program (20.600). The Safety Program awards formula grants to State Highway Departments. The program objective is to provide a coordinated national highway safety program to reduce traffic accidents, deaths, injuries, and property damage. The monies provided by the program may be used for the following: motor vehicle inspection or registration; motorcycle safety programs; driver education or licensing; establishing codes and laws; traffic court functions; alcohol projects; identification and surveillance of accident locations; emergency medical services; highway design, construction, and maintenance; pupil transportation; and accident investigation. Assistance to State highway departments is available each fiscal year. In FY 1975 a total of approximately \$3.1 million was allocated for the program.

Overview of the State Planning Process. Each State submits a comprehensive plan covering existing and proposed highway safety activities for a 4-year period. To identify State highway needs for the comprehensive plan, States compile data on accidents, drivers, and highway difficulties. The State's highway safety agency then establishes a series of goals and objectives to meet those needs. Goals are discussed in the comprehensive plan; intermediate objectives are specified in the annual plan. Goals and objectives are ranked according to the State's priorities and measures are designed to meet the goals. Planning is done in cooperation with municipalities and other government agencies. The plan is submitted to the Governor's office for review, according to OMB Circular A-95.

After gubernatorial approval, the State plan is simultaneously reviewed by the regional offices of the Federal Highway Administration and the National Highway Safety Commission. These agencies review the plan for its comprehensiveness, budget, and standards. The regional offices then send the plan to Washington for a final policy review. Annual highway safety plans must be submitted by July 1 of each year. Notification of award is made through a letter of approval to the Governor. The most recent comprehensive plan was due on December 15, 1972, and

covered fiscal years 1974, 1975, 1976, and 1977. Annual plans are due each July 1st. (See Table 6.14 and Figure 6.12.)

For additional information, contact either the appropriate regional office or the Traffic Safety Programs, National Highway Traffic Safety Administrator, Washington, D.C. 20590; or the Office of Highway Safety, Federal Highway Administration, Washington, D.C. 20590.

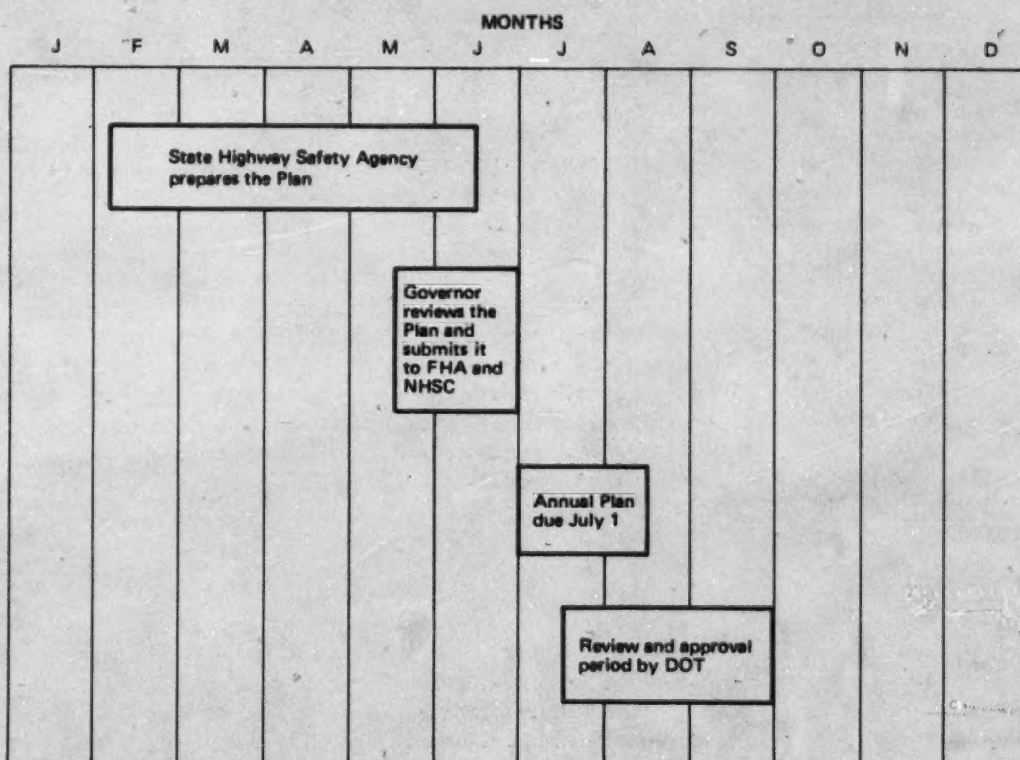
Table 6.14. PLANNING REQUIREMENTS

Components	Authorization	Appropriate Form	Required Content
COMPREHENSIVE PLAN	Highway Safety Acts of 1966, 1970 and 1973		
a. Part I, Summary of Overall Plan		Structured narrative	• Executive summary highlighting the goals, objectives, and plans in the Comprehensive Plan (CP)
Part II, Evaluation of Current Situation		Structured narrative	• Description of program efforts and accomplishments since the last CP; including legislative and administrative activities, implementation of programs, and program accomplishments
			• Description of the State's status and plans for future activities
			• Description of the nature and extent of current highway safety problems
Part III, Statement of Goals and Objectives		Structured narrative	• Description of goals and objectives, and State projects to achieve the goals • Program priorities • Description of required resources to meet the goals and objectives
Part IV, Program Elements		Charts, tables, and structured narrative	• Identification of all program elements and subelements and how they fit together. A narrative describing the rationale of elements should be included
		Structured narrative	• Statement of the PEP objectives, and the problems that are addressed with each objective
		PEP Form HS-212	• Description of activities to meet each objective • Estimates of annual costs for each subelement
		Form HS-217	• Summary of all costs

Table 6.14. PLANNING REQUIREMENTS (Continued)

ANNUAL PLAN Part I, Summary of Costs		Form HS-63	•Description of program costs by standard areas, showing Federal participation in each
Part II, Program Analysis		Narrative, with charts, graphs, and tables	•Overview of the Annual Work Program •Traffic and highway data •Analysis of political subdivision participation
Part III, Subelement Narrative, Plans, and Supplements		Narrative	•Specification for each program subelement •Preparation of a Subelement Plan •Description of how the annual activities tie into the Comprehensive Plan •Description of subelements where Federal funds will be used

Figure 6.12. PLANNING CYCLE



PROGRAM COMPARISONS

The following comparison of the State planning process for federally funded, delinquency-related programs is intended to provide the Coordinating Council on Juvenile Justice and Delinquency Prevention and State planners with an overview of the common program elements and with a summary of the differences among programs. The section includes a brief discussion of the following program components:

- Program authorization
- Target population
- Planning locus
- Planning requirements
- Planning cycle
- Scope of funding
- Funding cycle
- Plan reviewers
- Plan approval
- Evaluation.

To aid in comparing and summarizing program components, matrices for each of the programs have been provided.

Program Authorization

Federal efforts to decrease juvenile delinquency and to coordinate delinquency prevention programs have been authorized by Congress by the Crime Control Act of 1973 and the Juvenile Justice and Delinquency Prevention Act of 1974. The Office of Juvenile Justice and Delinquency Prevention, LEAA, has been given primary responsibility for the coordination of evaluation strategies. Authorizing legislation for each delinquency prevention program is included in Table 6.15 under the authorization column.

Target Population

The programs included in this section are designed to serve a variety of individuals and groups. The program beneficiaries are ultimately the citizens of the State or political subdivision. In most cases, program funds are allocated to States on a formula basis, and the local

governments subsequently apply to the State to finance local projects. LEAA's Improving and Strengthening Law Enforcement and Criminal Justice program, the Educationally Deprived Children programs and the Vocational Education program are examples of this type of passthrough funding. Authorized funds can also be allocated to a State agency for the sole purpose of program planning (e.g., LEAA's Comprehensive Planning Grants). Several programs are arranged so that the funds go directly to individuals in the form of monetary compensation, job training, or education, such as the Vocational Education-Work Study and Comprehensive Employment and Training programs.

The ultimate beneficiaries of the programs are generally youth 18 years old and younger. Many of the programs are aimed at special populations within that age group. For instance, the Adult Education program is intended for individuals 16 years and older who do not have a high school diploma; the Educationally Deprived Children-Migrants program is directed to children of migrant farmworkers and fishermen; and the ESEA Title I programs are aimed at educationally disadvantaged school children. In all cases, some portion of the program's funds go to local projects to improve the education, housing, nutrition, training, or safety of the Nation's youth.

Planning Locus

The preparation of plans is normally handled through the State's planning agency. However, the locus of planning varies considerably from State to State and from program to program. Program planning for LEAA-sponsored programs is usually handled through the State's SPA section and units of local government. Planning for HEW programs reviewed in this section is coordinated through the appropriate State education agency. For example, the State Title XX planning agency generally prepares the Title XX plan, and the State agency for library services prepares the grants for Public Libraries plan. Any citizen desiring funds for a local project would contact the State department of education. Planning for drug action programs is handled by the State's drug abuse planning agency.

The locus for planning is different for the delinquency-related programs under the Departments of Labor (DOL) and Housing and Urban Development (HUD). State and local governments with populations over 100,000 are responsible for preparing plans for DOL's Comprehensive Employment and Training Program (CETA). These plans are prepared in conjunction with the State's manpower advisory council and manpower services council. Plans and grant applications for HUD's Community Development Programs are usually prepared at the local level by community housing agencies.

Most programs have provisions whereby State citizens are encouraged to make suggestions on the preparation of a plan. Individuals who would like to propose new programs are advised to contact their State or local planning agencies. Ideas for delinquency prevention and juvenile justice programs should be taken to the State's SPA.

Planning Requirements

The requirements that each State or local government must meet in applying for funds under the Federal delinquency prevention programs are extremely varied. Requirements and instructions for completing the requirements for some programs (LEAA and Vocational Education) fill a sizeable volume. Others, such as the Drug Abuse Prevention program, have relatively simple and brief requirements for planning.

In some cases, the State plan is little more than an annual update or series of amendments to an original comprehensive plan. The Title I Educationally Deprived Children and the Grants for Public Libraries programs are examples of plans that consist only of an annual update. Plans and applications for the programs administered by the Departments of Justice, Labor, and Housing and Urban Development, on the other hand, are resubmitted in full each year. LEAA is now considering establishing plan requirements that follow both these approaches: a full plan to meet certain requirements but only an annual update for others.

The contents of the State plans vary considerably from program to program. From our examination of the planning requirements, the following seem to be common to most:

Needs Assessment. In developing each plan, the State planning agencies normally undertake an assessment of needs. From the needs assessment, the State planning agencies are able to determine the amount of Federal funds required to operate local projects.

Objectives. Each State plan contains, as a rule, a statement of objectives, which reports the goals for the coming year of the program. In many cases, the State's objectives are rank-ordered according to the State's priorities as derived through the assessment.

Administration. At least one section of each State plan usually is devoted to a description of the State's administrative structure. The descriptions include explanations of who will administer the relevant programs and the State's administrative resources and facilities.

Budget. A common element of most State plans is a budget section, which normally contains a description of the State's expenses in each program area.

Special Assurances. In many cases, State plans contain assurances to the Federal Government that the State will comply with civil rights requirements and will seek to meet the special needs of low-income, disadvantaged individuals.

Evaluation and Reporting. Most programs that have been authorized by Congress have an evaluation component. For these programs, State plans contain a description of evaluation procedures and specifications of how the evaluation results will be reported, disseminated, and used.

Basic Plan. Most State plans contain a description of how the State intends to implement new local projects and maintain effective ongoing projects.

Application Procedures. In cases where Federal funds go directly to the States, the plans usually describe how local governments can apply to the State for Federal monies.

Auditing Procedures. The methods used by the State to audit local projects are usually described in the plan. The plans may also include mention of who does the auditing and a description of the relationship between the State and the auditor.

The only program plans that require information on the extent and nature of juvenile delinquency are programs administered by the Department of Justice. However, the State plan for the Educationally Deprived Children-Neglected and Delinquent Program must include data on the numbers of institutional youth in the State, and the plan for the Drug Abuse Prevention Program requires a section dealing with State coordination of juvenile justice efforts.

Planning Cycle

By and large, State and local planning is done on a fiscal year basis. As mentioned previously, most plans are prepared annually, except for those programs that require only an annual update of past plans (e.g., grants for Public Libraries and the Educationally Deprived Children Programs). For FY 1977 funds, State plans are due about July 1, 1976. A graphic description of the planning cycles for each program follows the program descriptions. The State plans are usually prepared during the first four or five months of each calendar year.

Scope of Funding

Over \$18 billion was allocated by the Federal Government for juvenile delinquency-related programs reviewed in this section. The Department of Justice spent approximately \$591 million on its planning and action grants. The Department of Health, Education, and Welfare allocated nearly \$5 billion for its delinquency-related formula grants. The Department of Labor spent approximately \$3.7 billion for its CETA program, and the Department of Housing and Urban Development invested about the same for its Community Development Program. Almost \$35 million was spent for NIDA's Drug Abuse Prevention Program. The Department of Agriculture spent about \$4.9 billion on its Food Stamps Program and about \$1.5 billion on its food and nonfood service assistance programs. The State and Community Highway Safety Program of the Department of Transportation cost about \$3.1 million.

Comparisons among the agencies in terms of their relative funding are tenuous at best. For example, the \$6.4 billion of the Department of Agriculture is not solely aimed at delinquency prevention. Many programs have only an indirect impact on the delinquency issue; caution therefore is recommended in the interpretation of the funding data.

Funding Cycle

Without exception, the funding for each delinquency prevention program covered in this section is available on a fiscal year basis. The monies are generally released to the States and are effective at the start of the fiscal year for which applications are made.

Plan Reviewers

The 26 grant programs are reviewed by a number of parties before being submitted for final approval. All programs are subject to a review by the citizens of the State or local jurisdiction and the Governor of the State. In most cases, the plans or applications are also reviewed by a State advisory council and the regional offices. There are some exceptions, however. Some programs (e.g., the Adult Education Program) are authorized to use State advisory councils for review but have no provisions for a regional review. The regional offices, in some instances, are directly involved in preparing the plan itself. Many of the HEW programs follow this procedure. After the plans are submitted to the Federal Government, they also undergo a series of departmental reviews before final approval is given. The specifications for plan review are presented in Office of Management and Budget Circular A-95 (revised).

Plan Approval

Approval of the plans is made at either the regional or national levels. The plans for LEAA; the Department of Health, Education, and Welfare; and the Department of Housing and Urban Development are approved at the national level. The plans for the Department of Labor are approved at the regional level. The plans for NIDA are reviewed and approved jointly by regional and national offices.

Evaluation

All programs described in this section require some form of evaluation. The Department of Justice, the Department of Health, Education, and Welfare (except for Vocational Education programs), and the Department of Agriculture require that evaluation procedures be specified in the proposed program plan.

Table 6.15. OVERVIEW OF PLANNING ACTIVITIES

Agency and Program	Authorization	Target Population	Planning Locus	Planning Requirements	Planning Cycle	Scope of Funding	Funding Cycle	Plan Reviewers	Plan Approval	Evaluation
Department of Justice Law Enforcement Assistance Administration • Comprehensive Planning Grants	Crime Control Act of 1973 and the Juvenile Justice and Delinquency Prevention Act of 1974	Grants go to states to operate state and area criminal justice planning and to develop annual plans	State Criminal Justice Planning Agency and units of local government	The Crime Control Act and the Juvenile Justice and Delinquency Prevention Act each have special requirements for the planning grants and the program grants	Fiscal year; applications due 1 July	\$55 million	Funds available each fiscal year for the entire year	State Advisory Council, the public, Governor, and Regional Offices of LEAA	Planning grant applications are approved at the regional level	The Crime Control Act and the Juvenile Justice and Delinquency Prevention Act require that SPA's make provisions for monitoring and evaluating LEAA funded local projects. The plans must include a description of how the projects will be evaluated
• Improving and Strengthening Law Enforcement and Criminal Justice	Crime Control Act of 1973 and the Juvenile Justice and Delinquency Prevention Act of 1974	Formulate grants go to the states to implement state and local projects developed in the Plan	State Criminal Justice Planning Agency and units of local government		Fiscal year; comprehensive plans due 1 July	\$536 million	Fiscal year	State Advisory Council; the public, Governor, and Regional Offices of LEAA	Plans are approved at the regional office	
Department of Health, Education, and Welfare Social and Rehabilitation Service • Grants to States for services, Title XX	Social Security Act of 1975	Funds go to public assistance recipients so that they can decrease their reliance on public welfare	State Title XX Planning Agency and the State's citizens	Plan must include a statement of objectives, the number of people to be served, cost estimates, and how the services will be coordinated	Fiscal year; Annual Plans are due 1 July	\$2.5 billion	Fiscal year. Funds are available 3 months after plan approval	The public, Governor, Regional Commissioner of Social and Rehabilitation Services	Plans are approved by the Office of Social and Rehabilitation Services in HEW's Washington Office	The Social Services Act stipulates that the Title XX plans include a description of the evaluation procedures of the state
Office of Education • Adult Education—Grants to States	Adult Education Act, Title III of PL 91-230	Adults, 16 years or older who do not have a secondary school certificate	Adult Division of the State Education Agency	Plan must include a description of program priorities and objectives, a state needs assessment, and a long-range plan	Fiscal year; plans are due 30 June to the Regional Office	\$67.5 million	Fiscal year, with funds available at the beginning of the fiscal year	The public, Governor, and Regional Director of Adult Education; OE Commissioner	The OE Commissioner approves the plan and returns it to the appropriate Regional Office, who in turn notifies the state	The Adult Education Act requires that at least 10% of the State's Adult Education programs be evaluated each year. The plan must describe the evaluation process
• Educationally Deprived Children—local Educational Agencies	Elementary and Secondary Education Act of 1965, Title I	Program funds to the states to supplement the state and local services to educationally disadvantaged, migrant, neglected or delinquent children	State Title I Education Planning Agency	Requirements for each of the programs may be met in a single plan. The plans must include a basic list of assurances, a statement of purpose and a budget	States wishing to participate submit one general application. Annual program plans and amendments to the general application are submitted annually. Program plans are due 1 July	\$1.6 billion \$20 million \$92 million \$27 million	Fiscal year, funds are effective 1 July	The public, Governor, and State Attorney General	The OE Commissioner approves the plan and notifies the state agency	Title I requires that the states make periodic checks of the local projects, and that the plans describe the evaluation process. State evaluation reports are submitted to Washington

Table 6.15. OVERVIEW OF PLANNING ACTIVITIES (Continued)

Agency and Program	Authorization	Target Population	Planning Locus	Planning Requirements	Planning Cycle	Scope of Funding	Funding Cycle	Plan Reviewers	Plan Approval	Evaluation
• Library Services—Grants for Public Libraries	Library Services and Construction Act, PL 94-597	Citizens in localities which have no library services or have inadequate library facilities	State Agency for Library Services, in conjunction with the State Advisory Council	Plans must include the state's assurance of its capability for administering the program; specific policies and priorities, and a certificate of maintenance of effort	Beginning July 1, 1972, a long-range plan has been due every five years. Revisions of that plan are due annually	\$49 million	Fiscal year; funds are effective 1 July	The public, Governor, Regional HEW Director of Library Services; OE Commissioner	The OE Commissioner approves the plan. The Regional Office is responsible for informing the state of plan approval	The state's long-range plan must include a description of the program's evaluation procedure and how the evaluation results will be disseminated
• Supplementary Education Centers and Services, Guidance, Counseling, and Testing	Elementary and Secondary Education Act of 1965, Title III. In June 1976, the program will be included under Title IV	Program funds go to the states to provide educational services and to support innovative local projects	State Title III Education Planning Agency, in conjunction with the Advisory Council	The plan must include details of program administration and coordination, project review criteria, evaluation plans, and a budget	Fiscal year; plans are due to OE 30 June	\$103 million	Fiscal year	State Advisory Council, the public, OE Commissioner	Plans are approved by the OE Commissioner	Title III of ESEA stipulates that the plans include a discussion of the evaluation procedures of local projects
• Vocational Education—Basic Grants to States	Vocational Education Act	Program funds are allocated for the states to provide vocational education services to its citizens	State Board for Vocational Education, in conjunction with the State Advisory Council	Requirements for each of the programs may be met in a single state plan or plan amendment. The plan includes the procedures used by the state to operate its program	Fiscal year; plans are due to OE by 30 June	\$426 million	Fiscal year; funds are effective 1 July	State Advisory Council, the public, Governor, Director of Occupational and Adult Education in HEW Regional Offices	OE Commissioner approves the plan. The Regional Office informs the state of plan approval	The State Board of Education is responsible for the periodic evaluation of local projects. The results are described in the annual state reports
• Vocational Education—Cooperative Education						\$19.5 million				
• Vocational Education—Innovation						\$16.7 million				
• Vocational Education—Research						\$18 million				
• Vocational Education—Special Needs						\$20 million				
• Vocational Education—Work Study						\$9.8 million				
Department of Labor Employment and Training Administration • Comprehensive Employment and Training Program	Comprehensive Employment and Training Act of 1973, as amended, Title I, II, III, and VI	Program funds go to economically disadvantaged, unemployed, and underemployed persons	State and local government units	Comprehensive Manpower Plans must include how the "prime sponsors" intend to use funds and coordinate activities with the services offered by other manpower programs	Fiscal year	\$3.7 billion	Funds are made available during the fiscal year	State Advisory Council, the public, Governor, Regional Office, and DOL	The Regional Offices of DOL	The Secretary of Labor is authorized to evaluate programs funded with CETA monies. The prime sponsors are required to structure their projects for evaluation
Department of Housing and Urban Development Community Planning and Development • Community Development Block Grants/Entitlement Grants	Housing and Community Development Act of 1974	Funds go to units of local government for physical community development	Local Community Housing Agencies	Applications must include a community development plan, a community development budget, and basic assurances	Fiscal year	\$2.5 billion	Fiscal year	The public, Governor, Area Office of HUD, and DHUD	Secretary of HUD approves the application	Grant recipients are required to report on their own progress over the course of the year. The Secretary of HUD is authorized to evaluate grantees at any time

Table 6.15. OVERVIEW OF PLANNING ACTIVITIES (Continued)

Agency and Program	Authorization	Target Population	Planning Locus	Planning Requirements	Planning Cycle	Scope of Funding	Funding Cycle	Plan Reviewers	Plan Approval	Evaluation
National Institute on Drug Abuse • Drug Abuse Prevention Formula Grants	Drug Abuse Office and Treatment Act of 1972, Title IV	Program funds go to states to assist in local drug abuse prevention efforts	State Drug Abuse Planning Agency	The plan must include an annual performance report and a description of the state's plan for the coming year. Plans are due by 30 July	Fiscal year	\$35 million	Fiscal year; funds are available at the beginning of the fiscal year	The public, Governor, and State Drug Abuse Advisory Council	Federal Office of NIDA and the Regional Offices approve the plan	States are required to evaluate the effectiveness of their local projects and to describe the evaluation results in an annual performance report. These reports are submitted to Washington
Department of Agriculture • Food Stamps Program	Food Stamp Act of 1964, and PL 93-86	Low income households	State Agency, in coordination with political subdivisions	The plan must include any relevant state policies, procedures, and methods; description of program administration; description of coupon issuance systems; assurances of civil rights; quality control; and a description of program provisions	Fiscal year	\$4.9 billion	Fiscal year	Gubernatorial, A-95; Food and Nutrition Service, USDA	Notification of award is made by USDA to the State Central Information Reception Agency on SF 240	The plan must include a section describing the State's Quality Control Plan, including sampling plan, use of staff, and action on evaluation findings
• National School Lunch Program • Non-food Service Assistance for School Food Program • School Breakfast Program for Children • Special Food Service Program for Children • Special Milk Program for Children	Child Nutrition Act of 1966	Public and private schools and institutions with economically disadvantaged children	State Agency, in conjunction with the State Advisory Council	Plan must include how the state proposes to use the funds provided, extend the program to all schools in its jurisdiction, and to make the program especially available to needy children	Fiscal year	\$1.2 billion \$28 million \$73 million \$116.7 million \$119 million	Fiscal year	Gubernatorial A-95 for 45 day period; Food and Nutrition Service, USDA	Notification of award is made by FNS to the designated State Central Information Reception Agency. Funds are made available through letters of credit to the states.	The states must provide an annual plan for monitoring program performance and measuring progress toward achieving program goals
Department of Transportation • State and Community Highway Safety Program	Highway Safety Acts of 1966, 1970, and 1973	State political subdivisions for traffic projects	Governor's Highway Safety Director, in conjunction with the state agencies and municipalities	Plan must include the State's proposal for achieving its annual objectives, and a description of the program tasks and resources	Every four years for the Comprehensive Plan—with an annual update	\$3.1 million	Fiscal year	Gubernatorial A-95; Regional Federal Highway Administration and Regional National Highway Safety Commission; and DOT	Plans are approved by the regional offices of the Federal Highway Administration and the National Highway Safety Commission	The states are responsible for evaluating local highway safety projects. The states must be able to provide data to DOT for national evaluations

Appendices

APPENDIX I

DEFINITIONS FOR TERMS RELATING TO JUVENILE DELINQUENCY

Juvenile. A person under the statutory age of majority as defined by the appropriate jurisdiction.

Delinquency. Violation of an applicable Federal, State, or local statute or ordinance committed by a juvenile which would be designated as criminal if committed by an adult.

Status Offense. Conduct exhibited by a juvenile which would not be criminal if engaged in by an adult but for which a juvenile may be taken into custody and processed through the juvenile justice system.

Youth-in-Need. Juveniles, including abandoned, neglected, dependent, and abused youth, who lack family and/or community experiences that encourage law-abiding conduct, are economically and/or educationally disadvantaged, or have special physical or mental disabilities that limit their access to services available in the community.

Prevention. A process and the activities resulting from that process designed to enhance positive youth development, to encourage normal socialization and law-abiding conduct. The process is directed specifically at juveniles who are not receiving services on a compulsory basis as a result of contact with the juvenile justice system.

Treatment. Provision of services to juveniles and their families in order to encourage law-abiding conduct, the adoption of constructive attitudes and behaviors, and the enhancement of adaptive skills.

Rehabilitation. The outcome of successful treatment.

Diversion. Activities designed to suspend or terminate official juvenile justice processing of youth in favor of release or referral to alternate services.

Planning. A developmental problem solving and decisionmaking process that includes data collection and resource identification; problem identification and needs assessment; the establishment of goals and priorities; and the design and implementation of a plan of action and evaluation procedures.

Training. Short-term, high-impact transfer of information to impart a new skill, develop a change in attitude, introduce a new program or technique, or upgrade current operating capabilities.

Research. Studious inquiry or examination to develop new knowledge, to revise accepted theories, and to apply such revised theories in light of new knowledge.

Federal Juvenile Delinquency Program. Any program or activity related to juvenile delinquency prevention, control, diversion, treatment, rehabilitation, planning, education, training and research, including drug and alcohol abuse programs; the improvement of the juvenile justice system; and any program or activity for neglected, abandoned, or dependent youth and other youth who are in danger of becoming delinquent.

APPENDIX II

CRITERIA STATEMENT

The following is the criteria statement developed to describe and analyze the characteristics of Federal juvenile justice delinquency programs.

I. PROGRAM AREA DIMENSION

This dimension identifies the stage at which a program intervenes to prevent or ameliorate delinquent behavior. Program areas have been established with the recognition that the juvenile justice system does not exist autonomously and must be integrated with other activities primarily oriented to health, employment, education, and housing. This dimension emphasizes prevention and the provision of alternatives to the juvenile justice system as a continuing process rather than one that is oriented to a specific time or activity.

Prevention

Includes activities that assist and support natural and community support systems (family, schools, community organizations, and other groups).

Virtually all American adolescents are in at least some danger of becoming delinquent because adolescence is a time of greater youth freedom and of youth experimentation with new types of activity. Data on delinquency gathered from youth self-reports indicate that about 95 percent of all American adolescents have engaged on at least one occasion in some form of delinquent activity for which they could have been arrested and prosecuted. Fortunately, the vast majority of American youth do not engage in persistent or serious delinquency because of family, school, and community conditions that encourage law-abiding behavior. Youths in greatest danger of becoming seriously delinquent include those who (1) lack appropriate access to family, school, and community conditions that encourage law-abiding behavior; (2) begin to engage from an early age, for reasons that are as yet poorly understood, in acts of aggressive or destructive behavior; and (3) have already had more than one recorded contact with the juvenile justice system.

There are two categories of prevention programs. The first, "Programs for Youth," includes programs designed to reduce the motivation and opportunity for delinquent behavior and programs that provide alternatives to delinquent behavior. Preventive measures would include improving the environment and providing employment and educational opportunities and health and health-related services. Human service programs targeted toward the general youth population are also included.

- Programs for youth

- Social adjustment programs
- Environmental design and development programs

The second category, "Youth in Need," attempts to capture programs targeted at specific problem areas related to delinquency and youth who, by virtue of age or special problems, are considered to be a particularly vulnerable group.

- Youth in need (of special services)

- Public information programs
- School intervention programs
- Family intervention programs
- Community service programs

Enforcement

Includes all programs related to the detection, investigation, and apprehension of the juvenile delinquent. The control of crime and delinquency by Federal, State, and local law enforcement agencies and related organizations that investigate and analyze crime incidents and all functions in support of police agencies, such as crime reporting, information exchange, and police management are also included.

- Personnel deployment
- Detection and apprehension
- Personnel support
- Police-community relations
- General organization and management
- Records and information systems
- Communications
- Facilities and equipment
- Legal services

Diversion in Lieu of Adjudication

Includes alternative actions to adjudication that remove youth from the juvenile justice system and which utilize community resources and services.

- Group homes
- Counseling

Adjudication

Covers all programs in support of the operations of criminal and civil judicial institutions, from the highest appellate court to trial courts of lowest jurisdiction. Included are pretrial, trial, and sentencing procedures and the related functions of the prosecution, defense, and judiciary. Nonjudicial court administrative organizations and programs providing nonlegal services in lieu of continuing court intervention are included in this category.

- Pretrial release and detention
- Intake, diversion, diagnosis
- Nonjudicial resolution
- Court-community relations
- Defense services
- Prosecution
- Judiciary
- Court organization and administration
- Court facilities
- Technical support (T/A)
- Probation services

Alternatives to Institutionalization

Includes postadjudicatory deinstitutionalization programs and projects that remove youth from the traditional corrections component of the system and which utilize community resources and services as part of the postadjudicatory process.

- Specialized facilities
- Probation services

Corrections

Includes all Federal, State, and local agencies providing both residential and nonresidential, rehabilitation/treatment services to probationers, inmates, parolees, and ex-offenders. Also classified as correction efforts are residential programs for delinquent or dependent youth, and all court-ordered community and civil sanctions or placements.

- Rehabilitation services
- Related legal services
- Institution reentry programs

- Special residential facilities
- Organization and management
- Institutions and institutional services

II. TARGET GROUP DIMENSION

This dimension refers to that segment of society that receives the primary impact or benefit of specific programs.

Demographic Characteristics

Defines the distribution of the target population along a number of basic descriptive dimensions. These basic descriptors assist in better understanding the characteristics of those individuals who receive project services and benefit from these services.

- Age
- Income
- Ethnicity
- Geographical area
- Sex

Population Served

Includes the general population, the youth population, or the population of youth with special needs which are served by Federal program efforts.

- General population
- Youth
- Youth with special needs
 - Neglected, abused, dependent children
 - Children with family problems
 - Economically disadvantaged children
 - Educationally disadvantaged children
 - Children with behavioral problems
 - Truants, dropouts
 - Children with mental disabilities
- Adjudicated youth

Involvement Characteristics

Identifies the nature and extent (if any) of involvement in the commission of crimes or participation in delinquent behavior.

- Types of offense
 - Delinquent acts
 - Status offenses
 - No offenses
- Social problem
 - Health
 - Physically handicapped
 - Psychiatric or behavioral disorders
 - Neglected or abused
 - Education
 - Learning disorders
 - Truants and dropouts
 - Economic status
- Seriousness of offense

Service Populations

Defines the basic type of population receiving support for programs that do not serve youths directly.

- Citizens
- Criminal justice personnel/agencies
- Other government personnel/agencies
- Private organizations
- Not determinable

III. FUND RECIPIENT DIMENSION

This set of program criteria specifies which agency, organization, or institution is responsible for disbursing Federal funds related to juvenile delinquency prevention. This dimension describes the organizational entity that controls and monitors the flow of program dollars.

State Government Agencies

Includes all State agencies and organizations that received Federal funds from juvenile delinquency programs.

- Criminal/juvenile justice services
- Employment services

- Mental health services
- Educational services
- Other social services

Local Government Agencies

Includes all local agencies that receive Federal funds from juvenile delinquency programs.

- Criminal/juvenile justice services
- Employment services
- Mental health services
- Educational services
- Other social services

Public, Nonprofit Organizations or Institutions

Includes all nonprofit organizations or entities that serve the social service needs of the public and that receive Federal funds. These would include public schools, universities and all institutions of higher education (regardless of their status as private or public schools), and all hospitals, clinics, or special health agencies.

- Schools, universities, colleges
- Hospitals and clinics
- Community mental health centers
- Other

Private, Nonprofit Organizations or Institutions

Includes all organizations or entities that are not within the public domain and that tend to serve special needs and/or populations. For example, youth advocacy groups, research centers (not affiliated with a university), radio stations, and private foundations would be included in this category.

- Research centers
- Media
- Youth advocacy groups
- YMCA's/YMHA's
- Public interest groups
- Other

Profitmaking Organizations or Institutions

Includes all organizations or entities that operate on a for-profit basis. Generally, for-profit work is based on a contract with a fee established for the performance of services. Grants are, by definition, nonprofit and should not be included in this category.

International Organizations or Institutions

Includes all organizations or entities that operate primarily on an international basis.

Individuals

Includes any individual who directly received Federal dollars related to juvenile delinquency and delinquency programs.

- Fellowships

IV. ACTIVITY DIMENSION

This dimension describes methods used to achieve program objectives.

Provide Training/Educational Opportunities

Includes the development, implementation, and provision of, or participation in, opportunities to acquire knowledge or skills. Classified under this term are activities related to all types of learning, from orientation and general knowledge to practical instruction in specific technical skills.

- Conduct training needs assessments
- Develop curricula materials
- Conduct training sessions
- Attend training sessions or workshops
- Attend conferences
- Prepare and disseminate information
(publications/audio visuals)
- Develop/conduct pilot or demonstration projects
- Indeterminable

Make Capital Improvements

Includes all activities related to design, acquisition, and improvement of physical resources and the environment, particularly facilities and equipment.

- Plan facilities
- Renovate facilities
- Construct or acquire facilities
- Acquire equipment
- Plan or design neighborhoods
- Indeterminable

Conduct Research

Includes study or investigation aimed at developing new knowledge. All types of research activities are classified under this term including literature searches, empirical studies, data collection and analysis designed specifically to aid in planning, and assessment or evaluation of program objectives. Also included are those activities that assist in determining the impact of programs on juvenile delinquency.

- Conduct surveys
- Conduct literature search
- Model construction
- Conduct case studies
- Secondary data and analysis
- Conduct evaluation or assessment studies
- Field experimentation
- Program Impact Studies
- Indeterminable

Provide Technical Assistance

Includes the provision of specialized resources to facilitate the accomplishment of desired goals. Activities include administrative and operational support in all phases of policy or program development and implementation.

- Assist in policy development
- Assist in program/project planning and development
- Assist in program/project implementation
- Assist in development/implementation of standards and goals
- Stimulate legislative reform

Treatment of Juveniles

Includes care provided to persons classified as juveniles (defined here as youths under the age of 21), in an effort to encourage them to adopt constructive nondelinquent attitudes and activities.

- Maintain physical custody
- Maintain partial supervision

- Counsel
- Provide medical or psychological treatments
- Diagnostic services

Provision of Services

Includes all services, exclusive of direct health services, provided to juveniles and/or families that contribute to the development and/or improvement of the youth's general welfare.

- Special education programs
- Job training programs
- Transitional services
- After care services

Accountability

Development of accurate and objective program descriptions and program impact information.

- Independent impact information

APPENDIX III

FEDERAL POLICY AND OBJECTIVES FOR DELINQUENCY PREVENTION, TREATMENT, AND CONTROL

The Federal policy for delinquency prevention, treatment, and control has three major parts, two of which have specific objectives for Federal action. These are as follows:

1. All Federal departments and agencies identified as having delinquency prevention, treatment, or control responsibilities must assign appropriate priority to these functions, based on their overall mission, and take the necessary steps to identify how their programs can be made more effective, and how they can be better coordinated with the overall Federal strategy. Initial specific program objectives are:

a. To prevent juvenile delinquency by ensuring the maximum positive development of youth, and by altering the environment in ways that lessen the opportunity to commit crimes;

b. To lessen the inappropriate intervention of the juvenile justice system in the lives of youth by: (1) deinstitutionalizing status offenders, (2) making maximum use of realistic community-based alternatives, and (3) diverting appropriate juveniles from involvement with the juvenile justice system. The purpose of these actions is to avoid negative labeling and stigmatization for youth and to focus limited agency resources on those youths requiring such programming; and

c. To reduce serious crime committed by juveniles.

2. The Federal Government must develop mechanisms to facilitate the cooperation and coordination of delinquency prevention, control, and treatment programs at all levels of government and among juvenile justice and related public, private, and voluntary agencies, consumers, and the community in order to enhance service delivery to all children and youth and to increase the efficient use of fiscal and human resources. Specific objectives to facilitate this coordination are:

a. To develop an information system to collect relevant data about program and project objectives, structure, and effectiveness.

b. To identify research and evaluation priorities and to coordinate their implementation.

c. To identify and coordinate training priorities in the juvenile delinquency field.

d. To develop and implement Federal, State, and local standards for juvenile justice.

e. To develop mechanisms to coordinate Federal delinquency prevention and control programming.

f. To provide management and staffing support to the Concentration of Federal Effort Program.

g. To facilitate the coordination of delinquency prevention and control programming at the State and local levels.

3. The Federal Government must ensure that all relevant Federal departments and agencies maximize the involvement of minorities, women, and youth in all aspects of the juvenile justice system, protect the civil rights of children and youth, and safeguard the privacy and security of juvenile records.

APPENDIX IV

REGIONAL AND STATE OFFICES
ADMINISTERING FEDERAL PROGRAMS
RELATED TO JUVENILE DELINQUENCY

Table 1. DEPARTMENT OF JUSTICE: LAW ENFORCEMENT ASSISTANCE
ADMINISTRATION - REGIONAL OFFICES

REGION I: BOSTON

(Connecticut, Maine,
Massachusetts, New Hampshire,
Rhode Island, Vermont)

Regional Administrator
LEAA, U.S. Department of Justice
100 Summer Street, 19th Floor
Boston, MA 02110
(617) 223-2671 (Administration)

REGION II: NEW YORK

(New Jersey, New York, Puerto
Rico, Virgin Islands)

Regional Administrator
LEAA, U.S. Department of Justice
26 Federal Plaza, Room 1337
New York, NY 10007
(212) 264-0511 (Administration)

REGION III: PHILADELPHIA

(Delaware, Maryland,
Pennsylvania, Virginia, District
of Columbia, West Virginia)

Regional Administrator
LEAA, U.S. Department of Justice
325 Chestnut Street, Suite 800
Philadelphia, PA 19106
(215) 597-0807 (Admin & LEEP)

REGION IV: ATLANTA

(Alabama, Florida, Georgia,
Kentucky, Mississippi, North
Carolina, South Carolina, Tennessee)

Regional Administrator
LEAA, U.S. Department of Justice
730 Peachtree Street NE, Room 985
Atlanta, GA 30308
(404) 526-5868 (Administration)

REGION V: CHICAGO

(Illinois, Indiana, Ohio,
Michigan, Minnesota, Wisconsin)

Regional Administrator
LEAA, U.S. Department of Justice
O'Hare Office Center, Room 121
3166 Des Plaines Avenue
Des Plaines, IL 60018
(312) 353-1203

REGION VI: DALLAS

(Arkansas, Louisiana, New Mexico,
Oklahoma, Texas)

Acting Regional Administrator
LEAA, U.S. Department of Justice
200 Praetorian Building
1607 Main Street
Dallas, TX 75201
(214) 749-7211

Table 1. DEPARTMENT OF JUSTICE: LAW ENFORCEMENT ASSISTANCE
ADMINISTRATION - REGIONAL OFFICES (continued)

REGION VII: KANSAS CITY

(Iowa, Kansas, Missouri,
Nebraska)

Regional Administrator
LEAA, U.S. Department of Justice
436 State Avenue
Kansas City, KS 66101
(816) 374-4501 (Administration)

REGION VIII: DENVER

(Colorado, Montana, North Dakota,
South Dakota, Utah, Wyoming)

Regional Administrator
LEAA, U.S. Department of Justice
6324 Federal Building
19th and Stout Streets
Denver, CO 80202
(303) 837-2456 (Administration)

REGION IX: SAN FRANCISCO

(Arizona, American Samoa,
California, Guam, Hawaii, Nevada)

Regional Administrator
LEAA, U.S. Department of Justice
1860 El Camino Real, 3rd Floor
Burlingame, CA 94010
(415) 976-7256 (Administration)

REGION X: SEATTLE

(Alaska, Idaho, Oregon,
Washington)

Regional Administrator
LEAA, U.S. Department of Justice
130 Andover Park, East
Seattle, WA 98188
(206) 442-1170

Table 2. LAW ENFORCEMENT ASSISTANCE ADMINISTRATION: STATE PLANNING AGENCIES

ALABAMA

Director, Alabama Law Enforcement Planning Agency
2863 Fairlane Drive
Building F, Suite 49
Executive Park
Montgomery, AL 36111
(205) 277-5440 FTS 534-7700

ALASKA

Executive Director
Alaska Criminal Justice Planning Agency
Pouch AJ
Juneau, AK 99801
(907) 465-3535 FTS 399-0150
thru Seattle FTS (206) 583-0150

AMERICAN SAMOA

Director, Territorial Criminal Justice Planning Agency
Office of the Attorney General
Box 7
Pago Pago, American Samoa 96799
633-5221 (Overseas Operator)

ARIZONA

Executive Director
Arizona State Justice Planning Agency
Continental Plaza Building
Suite M, 5119 North 19th Avenue
Phoenix, AZ 85015
(602) 271-5466 FTS 765-5466

ARKANSAS

Executive Director
Governor's Commission on Crime and Law Enforcement
1000 University Tower
12th at University
Little Rock, AR 72204
(501) 371-1305 FTS 740-5011

CALIFORNIA

Executive Director
Office of Criminal Justice Planning
7171 Bowling Drive
Sacramento, CA 95823
(916) 445-9156 FTS 465-9156

COLORADO

Director, Division of Criminal Justice
Department of Local Affairs
328 State Services Building
1525 Sherman Street
Denver, CO 80203
(303) 892-3331 FTS 327-0111

CONNECTICUT

Executive Director
Connecticut Justice Commission
75 Elm Street
Hartford, CT 06115
(203) 566-3020

DELAWARE

Executive Director
Delaware Agency to Reduce Crime
Room 405, Central YMCA
11th and Washington Streets
Wilmington, DE 19801
(302) 571-3431

DISTRICT OF COLUMBIA

Executive Director
Office of Criminal Justice Plans and Analysis
Munsey Building
Room 200
1329 E Street, NW
Washington, DC 20004
(202) 629-5063

Table 2. LAW ENFORCEMENT ASSISTANCE ADMINISTRATION: STATE PLANNING AGENCIES (continued)

FLORIDA

Bureau Chief
Bureau of Criminal Justice
Planning and Assistance
620 S. Meridian
Tallahassee, FL
(904) 488-6001 FTS 946-2011

GEORGIA

Director, Office of the State
Crime Commission
1430 West Peachtree Street, NW
Suite 306
Atlanta, GA 30309
(404) 656-3825 FTS 285-0111

GUAM

Director, Territorial Crime
Commission
Office of the Governor
Soledad Drive
P.O. Box 2950
Amistad Building, Room 4
Agana, GU 96910
472-8781 (Overseas Operator)

HAWAII

Director, State Law Enforcement
and Juvenile Delinquency
Planning Agency
1010 Richard Street
Kamamalu Building, Room 412
Honolulu, HI 96800
(808) 548-3800 FTS 556-0220

IDAHO

Director, Law Enforcement
Planning Commission
State House
Capitol Annex No. 3
Boise, ID 83707
(208) 964-2364 FTS 554-2364

ILLINOIS

Executive Director
Illinois Law Enforcement Commission
120 South Riverside Plaza
10th Floor
Chicago, IL 60606
(312) 454-1560

INDIANA

Executive Director
Indiana Criminal Justice Planning
Agency
215 North Senate
Indianapolis, IN 46202
(317) 633-4773 FTS 336-4773

IOWA

Executive Director
Iowa Crime Commission
3125 Douglas Avenue
Des Moines, IA 50310
(515) 281-3241 FTS 863-3241

KANSAS

Executive Director
Governor's Committee on Criminal
Administration
503 Kansas Avenue, 2nd Floor
Topeka, KS 66603
(913) 295-3066 FTS 757-3066

KENTUCKY

Administrator
Executive Office of Staff Services
Kentucky Department of Justice
209 St. Clair Street, 3rd Floor
Frankfort, KY 40601
(502) 564-3253 FTS 351-3130

Table 2. LAW ENFORCEMENT ASSISTANCE ADMINISTRATION: STATE PLANNING AGENCIES (continued)

LOUISIANA

Director, Louisiana Commission
on Law Enforcement and Admin-
istration of Criminal Justice
1885 Wooddale Boulevard, Room 615
Baton Rouge, LA 70806
(504) 369-7515

MAINE

Executive Director
Maine Criminal Justice Planning
and Assistance Agency
295 Water Street
Augusta, ME 04330
(207) 289-3361

MARYLAND

Executive Director
Governor's Commission on Law
Enforcement and Administration
of Justice
Executive Plaza One, Suite 302
Cockeysville, MD 21030
(301) 666-9610

MASSACHUSETTS

Executive Director
Committee on Criminal Justice
80 Boylston Street
Suite 725-740
Boston, MA 02116
(617) 727-5497

MICHIGAN

Administrator
Office of Criminal Justice
Programs
Lewis Cass Building, 2nd Floor
Lansing, MI 48913
(517) 373-3992 FTS 253-3992

MINNESOTA

Executive Director
Governor's Commission on Crime
Prevention and Control
444 Lafayette Road, 6th Floor
St. Paul, MN 55101
(612) 354-6591 FTS 490-4211

MISSISSIPPI

Executive Director
Mississippi Criminal Justice
Planning Division
Suite 200, Watkins Building
510 George Street
Jackson, MS 39201
(601) 354-6591 FTS 490-4211

MISSOURI

Executive Director
Missouri Council on Criminal
Justice
P.O. Box 1041
Jefferson City, MO 65101
(314) 751-3432 FTS 276-3711

MONTANA

Administrator
Board of Crime Control
1336 Helena Avenue
Helena, MT 59601
(405) 587-3604 FTS 587-3604

NEBRASKA

Executive Director
Nebraska Commission on Law
Enforcement and Criminal Justice
State Capitol Building
Lincoln, NE 68509
(402) 471-2194 FTS 867-2194

Table 2. LAW ENFORCEMENT ASSISTANCE ADMINISTRATION: STATE PLANNING AGENCIES (continued)

NEVADA

Director, Commission on Crime,
Delinquency and Corrections
430 Jeanell, Capitol Complex
Carson City, NV 89710
(702) 885-4404

NEW HAMPSHIRE

Director, Governor's Commission
on Crime and Delinquency
169 Manchester Street
Concord, NH 03301
(603) 271-3601

NEW JERSEY

Executive Director
State Law Enforcement Planning
Agency
3535 Quaker Bridge Road
Trenton, NJ 08625
(609) 292-3741 FTS 340-3511

NEW MEXICO

Executive Director
Governor's Council on Criminal
Justice Planning
P.O. Box 1770
Santa Fe, NM 87501
(505) 827-5222 FTS 476-5222

NEW YORK

Administrator, Office of Planning
and Program Assistance, State
of New York, Division of Criminal
Justice Services
270 Broadway, 10th Floor
New York, NY 10007
(212) 488-4868 FTS 264-3311

NORTH CAROLINA

Administrator
Law and Order Section
North Carolina Department of
Natural and Economic Resources
P.O. Box 27687
Raleigh, NC 27611
(919) 829-7974 FTS 672-4020

NORTH DAKOTA

Director, North Dakota Combined
Law Enforcement Council
Box B
Bismarck, ND 58501
(701) 224-2594 FTS 783-4011

OHIO

Deputy Director
Ohio Department of Economic and
Community Development
Administration of Justice
30 East Broad Street, 26th Floor
Columbus, Ohio 43215
(612) 466-7610 FTS 942-7610

OKLAHOMA

Executive Director
Oklahoma Crime Commission
3033 North Walnut
Oklahoma City, OK 73105
(405) 521-2821 FTS 736-4011

OREGON

Administrator
Law Enforcement Council
2001 Front Street, NE
Salem, OR 97303
(503) 378-4347 FTS 530-4347

Table 2. LAW ENFORCEMENT ASSISTANCE ADMINISTRATION: STATE PLANNING AGENCIES (continued)

PENNSYLVANIA

Deputy Director
Governor's Justice Commission
Department of Justice
P.O. Box 1167
Federal Square Station
Harrisburg, PA 17120
(717) 787-2042

PUERTO RICO

Executive Director
Puerto Rico Crime Commission
G.P.O. Box 1256
Hato Rey, PR 00936
(809) 783-0398

RHODE ISLAND

Executive Director
Governor's Justice Commission
197 Taunton Avenue
East Providence, RI 02914
(401) 277-2620

SOUTH CAROLINA

Executive Director
Office of Criminal Justice
Programs
Edgar A. Brown State Office Bldg.
1205 Pendleton Street
Columbia, SC 29201
(803) 758-3573 FTS 677-5011

SOUTH DAKOTA

Director
Division of Law Enforcement
Assistance
2000 West Pleasant Drive
Pierre, SD 56501
(605) 224-3665 FTS 782-7000

TENNESSEE

Executive Director
Tennessee Law Enforcement Planning
Agency
Suite 205, Capitol Hill Bldg.
301 Seventh Avenue, North
Nashville, TN 37219
(615) 741-3521 FTS 852-5022

TEXAS

Executive Director
Criminal Justice Division
Office of the Governor
411 West 13th Street
Austin, TX 78701
(512) 475-4444 FTS 734-5011

UTAH

Director
Utah Council on Criminal Justice
Administration
Room 304, State Office Bldg.
Salt Lake City, UT 84114
(801) 533-5731 FTS 588-5500

VERMONT

Executive Director
Governor's Commission on the
Administration of Justice
149 State Street
Montpelier, VT 05602
(802) 828-2351

VIRGINIA

Director, Division of Justice and
Crime Prevention
8501 Mayland Drive
Richmond, VA 23229
(804) 786-7421

Table 2. LAW ENFORCEMENT ASSISTANCE ADMINISTRATION: STATE PLANNING AGENCIES (continued)

VIRGIN ISLANDS

Acting Administrator
Virgin Islands Law Enforcement
Planning Commission
Box 280, Charlotte Amalie
St. Thomas, VI 00801
(809) 774-6400

WASHINGTON

Administrator
Law and Justice Planning Office
Office of Community Development
Insurance Building, Room 107
Olympia, WA 98504
(206) 753-2235 FTS 434-2235

WEST VIRGINIA

Executive Director
Governor's Committee on Crime,
Delinquency and Corrections
Morris Square, Suite 321
1212 Lewis Street
Charleston, WV 25301
(304) 345-8814

WISCONSIN

Executive Director
Wisconsin Council on Criminal
Justice
122 West Washington
Madison, WI 53702
(602) 266-3323

WYOMING

Administrator
Governor's Planning Committee on
Criminal Administration
State Office Building East
Cheyenne, WY 82002
(307) 777-7716 FTS 328-9716

Table 3. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF SOCIAL AND REHABILITATION SERVICES (TITLE XX) - REGIONAL OFFICES

REGION 1

Connecticut

Commissioner
State Welfare Department
110 Bartholomew Avenue
Hartford, CT 06106

Maine

Commissioner
State Department of Health
and Welfare
State House
Augusta, ME 04330

Massachusetts

Commissioner
Massachusetts Department of
Public Welfare
600 Washington Street
Boston, MA 02111

Commissioner
Massachusetts Commission
for the Blind
39 Boylston Street
Boston, MA 02116

New Hampshire

Commissioner
Department of Health and
Welfare
State House Annex
Concord, NH 03301

Rhode Island

Director, Department of Social
and Rehabilitative Services
Aime J. Forand
State Office Building
600 New London Avenue
Cranston, RI 02920

Vermont

Secretary
Agency of Human Services
State Office Building
Montpelier, VT 05602

REGION 2

New Jersey

Commissioner
Department of Institutions and
Agencies
135 West Hanover Street
Trenton, NJ 08625

New York

Acting Commissioner
Department of Social Services
1450 Western Avenue
Albany, NY 12242

REGION 3

Delaware

Secretary
Department of Health and Social
Services
Delaware State Hospital
New Castle, DE 19720

District of Columbia

Director
Department of Human Resources
District Building
14th and E Streets, NW
Washington, DC 20004

Maryland

Secretary
Department of Human Resources
1100 North Eutaw Street
Baltimore, MD 21201

Table 3. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF SOCIAL AND REHABILITATION SERVICES (TITLE XX) - REGIONAL OFFICES
(continued)

Pennsylvania

Secretary
Department of Human Welfare
Health and Welfare Building
Harrisburg, PA 17120

Virginia

Commissioner
Department of Welfare
8007 Discovery Drive
Richmond, VA 23288

Director

Virginia Commission for the
Visually Handicapped
3003 Parkwood Avenue
Richmond, VA 23221

West Virginia

Commissioner
Department of Welfare
1900 Washington Street, East
Charleston, WV 25305

REGION 4

Alabama

Commissioner
State Department of Pensions
and Security
64 North Union Street
Montgomery, AL 36104

Florida

Secretary
Department of Health and
Rehabilitative Services
1323 Winewood Boulevard
Tallahassee, FL 32301

Georgia

Acting Commissioner
Department of Human Resources
State Office Building
Atlanta, GA 30334

Kentucky

Secretary
Department for Human Resources
Capitol Building Annex, Room 201
Frankfort, KY 40601

Mississippi

Commissioner
State Department of Public Welfare
P.O. Box 4321
Fondren Station
Jackson, MS 39216

North Carolina

Secretary
Department of Human Resources
325 N. Salisbury Street
Raleigh, NC 27611

South Carolina

Commissioner
Department of Social Services
P.O. Box 1520
Columbia, SC 29202

Tennessee

Commissioner
State Department of Human Services
204 State Office Building
Nashville, TN 37219

Table 3. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF SOCIAL AND REHABILITATION SERVICES (TITLE XX) - REGIONAL OFFICES
(continued)

REGION 5

Illinois

Acting Director
Illinois Department of Public
Aid
222 College Street
Springfield, IL 62706

Indiana

Administrator
Indiana Department of Public
Welfare
State Office Building, Room 701
100 North Senate Avenue
Indianapolis, IN 46204

Michigan

Director
Department of Social Services
Commerce Center Building
300 South Capitol Avenue
Lansing, MI 48936

Minnesota

Commissioner
Department of Public Welfare
Centennial Building
658 Cedar Street
St. Paul, MN 55155

Ohio

Director
Ohio Department of Public Welfare
State Office Tower, 32nd Floor
30 East Broad Street
Columbus, OH 43215

Wisconsin

Secretary
Department of Health and Social
Services
1 West Wilson Street
Madison, WI 53702

REGION 6

Arkansas

Director, Department of Social
and Rehabilitation Services
406 National Old Line Insurance
Building
Little Rock, AR 72201

Louisiana

Commissioner
Health and Human Resources
Administration
P.O. Box 44215
Baton Rouge, LA 70804

New Mexico

Executive Director
Health and Social Services
Department
P.O. Box 2348
PERA Building
Santa Fe, NM 87503

Oklahoma

Director
Department of Institutions/
Social and Rehabilitative Services
P.O. Box 25352
Oklahoma City, OK 73125

Texas

Commissioner
State Department of Public Welfare
John H. Reagan Building
Austin, TX 78701

Table 3. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF SOCIAL AND REHABILITATION SERVICES (TITLE XX) - REGIONAL OFFICES
(continued)

REGION 7

Iowa

Commissioner
Department of Social Services
Lucas State Office Building
Des Moines, IA 50319

Kansas

Secretary
Department of Social and
Rehabilitation Services
State Office Building
Topeka, KS 66612

Missouri

Director
Department of Social Services
Broadway State Office Building
Jefferson City, MO 65101

Nebraska

Director
Department of Public Welfare
1526 K Street, Fourth Floor
Lincoln, NE 68508

REGION 8

Colorado

Executive Director
Department of Social Services
1575 Sherman Street
Denver, CO 80203

Montana

Director, Department of Social
and Rehabilitation Services
P.O. Box 1723
Helena, MT 59601

North Dakota

Executive Director
Social Service Board of North
Dakota
State Capitol Building
Bismarck, ND 58501

South Dakota

Secretary
Department of Social Services
State Capitol Building
Pierre, SD 57501

Utah

Executive Director
Department of Social Services
221 State Capitol
Salt Lake City, UT 84114

Wyoming

Acting Coordinator
Department of Health and Social
Services
State Office Building, West
Room 317
Cheyenne, WY 82001

REGION 9

Arizona

Director
State Department of Economic
Security
1515 West Jefferson
Phoenix, AZ 85005

California

Secretary
State of California Health and
Welfare Agency
915 Capitol Mall, Room 200
Sacramento, CA 95814

Table 3. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF SOCIAL
AND REHABILITATION SERVICES (TITLE XX) - REGIONAL OFFICES
(continued)

Guam

Acting Director
Guam Department of Public Health
and Social Services
Government of Guam

Hawaii

Director
State Department of Social
Services and Housing
P.O. Box 339
Honolulu, HI 96809

Nevada

Director, State Department of
Human Resources
Union Federal Building
308 North Curry Street
Carson City, NV 89701

Idaho

Administrator
Department of Health and Welfare
State House
Boise, ID 83720

Oregon

Director
Department of Human Resources
318 Public Service Building
Salem, OR 97310

Washington

Secretary
Department of Social and
Health Services
P.O. Box 1788
Olympia, WA 98504

REGION 10

Alaska

Commissioner
Department of Health and Social
Services
Pouch H
Juneau, AK 99801

Table 4. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF
EDUCATION - REGIONAL OFFICES

REGION 1

(Connecticut, Maine,
Massachusetts, New Hampshire,
Rhode Island, Vermont)

John F. Kennedy Federal
Building
Government Center
Boston, MA 02203
(617) 223-6831

REGION 2

(New York, New Jersey, Puerto
Rico, the Virgin Islands)

26 Federal Plaza
New York, NY 10007
(212) 264-4600

REGION 3

(Delaware, District of Columbia,
Maryland, Pennsylvania, Virginia,
West Virginia)

P.O. Box 13716
3535 Market Street
Philadelphia, PA 19101
(215) 597-6492

REGION 4

(Alabama, Florida, Georgia,
Kentucky, Mississippi, North
Carolina, South Carolina,
Tennessee)

50 Seventh Street, NE
Atlanta, GA 30323
(404) 526-5817

REGION 5

(Illinois, Indiana, Minnesota,
Michigan, Ohio, Wisconsin)

300 South Wacker Drive
Chicago, IL 60606
(312) 353-5160

REGION 6

(Arkansas, Louisiana, New Mexico,
Oklahoma, Texas)

1114 Commerce Street
Dallas, TX 75202
(214) 749-3396

REGION 7

(Iowa, Kansas, Missouri, Nebraska)

601 East 12th Street
Kansas City, MO 64106
(816) 374-3436

REGION 8

(Colorado, Montana, North Dakota,
South Dakota, Utah, Wyoming)

Federal Office Building
1961 Stout Street
Denver, CO 80202
(303) 837-3373

REGION 9

(Arizona, California, Hawaii, Nevada,
Guam, American Samoa, Wake Island,
Trust Territories of the Pacific
Islands)

Federal Office Building
50 Fulton Street
San Francisco, CA 94102
(415) 556-6746

Table 4. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE: OFFICE OF
EDUCATION - REGIONAL OFFICES (continued)

REGION 10

(Alaska, Idaho, Oregon,
Washington)

Arcade Plaza
1321 Second Avenue
Seattle, WA 98101
(206) 442-0420

Table 5. DEPARTMENT OF LABOR - REGIONAL OFFICES

REGION 1

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

John F. Kennedy Building
Boston, MA 02203

REGION 2

(New Jersey, New York, Canal Zone, Puerto Rico, Virgin Islands)

1515 Broadway
New York, NY 10036

REGION 3

(Delaware, Maryland, Pennsylvania, Virginia, West Virginia)

P.O. Box 8796
Philadelphia, PA 19101

REGION 4

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

1371 Peachtree Street, NE
Atlanta, GA 30309

REGION 5

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)

300 South Wacker Drive
Chicago, IL 60606

REGION 6

(Iowa, Kansas, Missouri, Nebraska)

911 Walnut Street
Kansas City, MO 64106

REGION 7

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

1100 Commerce Street
Dallas, TX 75202

REGION 8

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

1961 Stout Street
Denver, CO 80202

REGION 9

(Arizona, California, Hawaii, Nevada, American Samoa, Guam, Trust Territory)

450 Golden Gate Avenue
San Francisco, CA 94102

REGION 10

(Alaska, Idaho, Oregon, Washington)

1321 Second Avenue
Seattle, WA 98101

Table 6. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT - REGIONAL AND AREA OFFICES

REGION 1

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

John F. Kennedy Federal
Office Building
Boston, MA 02203

Area Offices

Manchester, NH, Boston, MA,
Hartford, CT

REGION 2

(New Jersey, New York, Puerto Rico, Virgin Islands)

26 Federal Plaza
New York, NY 10007

Area Offices

New York, NY, Newark, NJ,
Camden, NJ, Buffalo, NY,
San Juan, PR

REGION 3

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)

Curtis Building
6th and Walnut Streets
Philadelphia, PA 19106

Area Offices

Pittsburgh, PA, Philadelphia, PA,
District of Columbia, Baltimore,
MD, Richmond, VA

REGION 4

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

1371 Peachtree Street, NE
Pershing Point Plaza
Atlanta, GA 30309

Area Offices

Birmingham, AL, Jacksonville, FL,
Atlanta, GA, Louisville, KY,
Jackson, MS, Greensboro, NC,
Columbia, SC, Knoxville, TN

REGION 5

(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)

300 South Wacker Drive
Chicago, IL 60606

Area Offices

Detroit, MI, Chicago, IL,
Indianapolis, IN, Minneapolis, MN,
Columbus, OH, Milwaukee, WI

REGION 6

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

Federal Office Building
1100 Commerce Street
Dallas, TX 75242

Area Offices

Dallas, TX, Oklahoma City, OK,
San Antonio, TX, New Orleans, LA,
Little Rock, AR

Table 6. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT - REGIONAL AND AREA OFFICES (continued)

REGION 7

(Iowa, Kansas, Missouri, Nebraska)

Federal Office Building
911 Walnut Street
Kansas City, MO 64106

Area Offices

Kansas City, KS, St. Louis, MO, Omaha, NE

REGION 8

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

Federal Building
1405 Curtis Street
Denver, CO 80202

Area Offices

No area offices. Insuring Offices: Casper, WY, Helena, MT, Fargo, ND, Sioux Falls, SD, Salt Lake City, UT

REGION 9

(Arizona, California, Hawaii, Nevada, Guam, American Samoa)

450 Golden Gate Avenue
P.O. Box 36003
San Francisco, CA 94102

Area Offices

San Francisco, CA, Los Angeles, CA

REGION 10

(Alaska, Idaho, Oregon, Washington)

Arcade Plaza Building
1321 Second Avenue
Seattle, WA 98101

Area Offices

Seattle, WA, Portland, OR

Table 7. DEPARTMENT OF AGRICULTURE - REGIONAL OFFICES

CALIFORNIA

(Western: Alaska, American Samoa, Arizona (except Navaho Nation), California, Guam, Hawaii, Idaho, Nevada, Oregon, Washington, Trust Territory of the Pacific Islands)

550 Kearny Street
Room 400
San Francisco, CA 94108
(415) 556-4951

GEORGIA

(Southeast: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

1100 Spring Street, NW
Room 200
Atlanta, GA 30309
(404) 526-5131

ILLINOIS

(Midwest: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin)

536 South Clark Street
Chicago, IL 60605
(312) 353-6664

NEW YORK

(Northeast: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virgin Islands, Virginia, West Virginia)

729 Alexander Road
Princeton, NJ 08540
(609) 452-1712

TEXAS

(West Central: Arizona (Navaho Nation only), Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming)

1100 Commerce Street
Room 5-D-22
Dallas, TX 75202
(214) 749-2877